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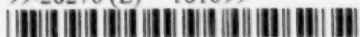
Agenda item 116 (b)

Human rights questions: human rights questions, including alternative approaches for improving the effective enjoyment of human rights and fundamental freedoms

Right to development

Note by the Secretary-General

1. The present note is submitted in accordance with General Assembly resolution 53/155 of 9 December 1998, in which the Assembly, in paragraph 21, requested the Commission on Human Rights to invite the independent expert on the right to development to submit his studies to the Assembly.
 2. The independent expert's study contained in document E/CN.4/1999/WG.18/2 was submitted to the Open-ended Working Group of the Commission on Human Rights on the Right to Development, which met in Geneva on 13 and 14 September 1999. It decided to suspend its deliberations and to resume them again in Geneva from 13 to 17 December.
 3. The study of the independent expert is available to the General Assembly.
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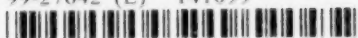
Agenda item 100 (f)

**Environment and sustainable development: implementation of the
outcome of the Global Conference on the Sustainable Development of
Small Island Developing States**

Letter dated 26 September 1999 from the Permanent Representative of Samoa to the United Nations addressed to the Secretary-General

On behalf of the Alliance of Small Island States (AOSIS), I have the honour to request your assistance in circulating the attached communiqué of the Third Summit Meeting of the Heads of State and Government of AOSIS (see annex) as an official document of the fifty-fourth session of the General Assembly, under agenda item 100 (f).

(Signed) Tuiloma Neroni Slade
Ambassador and Permanent Representative
Chairman of the Alliance of Small Island States



Annex

Communiqué by the Third Summit Meeting of the Heads of State and Government of the Alliance of Small Island States, issued at United Nations Headquarters on 25 September 1999

1. The Heads of State and Government of the Alliance of Small Island States (AOSIS)* met at United Nations Headquarters on 25 September 1999. The meeting was chaired by The Honourable Tuila'epa Sailele Malielegaoi, Prime Minister, Minister of Foreign Affairs and Minister of Finance of the Independent State of Samoa, and was attended by: Mr. Leo A. Falcam, President of the Federated States of Micronesia; Mr. Carlos Veiga, Prime Minister of the Republic of Cape Verde; The Honourable Dr. Denzil Douglas, Prime Minister of Saint Kitts and Nevis; Mr. Tommy Remenegesau Jr., Vice President of the Republic of Palau; The Honourable Billie Miller, Deputy Prime Minister, Minister of Foreign Affairs of Barbados; The Honourable John Briceno, Deputy Prime Minister of Belize; and The Honourable Seymour Mullings, Deputy Prime Minister, Minister of Foreign Affairs and Foreign Trade of Jamaica.

2. The meeting was also attended by the following heads of delegation of AOSIS member States: Mr. Souef El Amine Mohamed, Minister of Foreign Affairs of the Islamic Federal Republic of the Comoros; Dr. Rosa Elena Simeon Negrin, Minister of Science, Technology and Environment of Cuba; The Honourable Clement Rohee, Minister of Foreign Affairs of the Republic of Guyana, Chairman of the Group of 77; The Honourable Ismail Shafeeu, Minister of Home Affairs, Housing and Environment of the Republic of Maldives; The Honourable Dr. Joe Borg, Minister of Foreign Affairs of Malta; The Honourable George W. Odum, Minister of Foreign Affairs and International Trade of Saint Lucia; The Honourable Professor S. Jayakumar, Minister of Foreign Affairs of the Republic of Singapore; Mr. Erroll G. Snijders, Minister of Foreign Affairs of the Republic of Suriname; The Honourable Hilda Kari, M.P., Minister of Forests, Environment and Conservation of Solomon Islands; The

Honourable Clement Leo, Assistant Minister of Foreign Affairs of the Republic of Vanuatu; Mr. Tu'a Taumoepeau Tupou, Secretary for Foreign Affairs of the Kingdom of Tonga; Dr. Patrick Albert Lewis, Ambassador, Permanent Representative of Antigua and Barbuda to the United Nations, Vice-Chairman of AOSIS; Mr. Maurice E. Moore, J.P., Ambassador, Permanent Representative of the Commonwealth of the Bahamas to the United Nations; Mr. Simon Paul Richards, Ambassador, Permanent Representative of the Commonwealth of Dominica to the United Nations; Mr. Amraiya Naidu, Ambassador, Permanent Representative of the Republic of the Fiji Islands to the United Nations; Dr. Lamuel A. Stanislaus, Ambassador, Permanent Representative of Grenada to the United Nations; Mr. Pierre Lelong, Ambassador, Permanent Representative of the Republic of Haiti to the United Nations; Mr. Jackeo A. Relang, Ambassador, Permanent Representative of the Republic of the Marshall Islands to the United Nations; Mr. Anund Priyay Neewoor, Ambassador, Permanent Representative of the Republic of Mauritius to the United Nations; Mr. Peter D. Donigi, CBE, Ambassador, Permanent Representative to the United Nations; Mr. Claude Morel, Ambassador, Permanent Representative of the Republic of Seychelles to the United Nations; Mr. George Winston McKenzie, Ambassador, Permanent Representative of the Republic of Trinidad and Tobago to the United Nations; Mr. Enele S. Sopoaga, High Commissioner of Tuvalu to the Republic of the Fiji Islands and Permanent Representative to the South Pacific Forum; Mr. Agiz T. Loizou, First Secretary, Permanent Mission of the Republic of Cyprus to the United Nations. The following attended as an observer: Dr. Carlyle Corbin Jr., Minister of State for External Affairs of the United States Virgin Islands.

3. The following special observers also attended: Mr. Nitin Desai, Under-Secretary-General, Department of Economic and Social Affairs of the United Nations Secretariat; and Mr. Richard Jolly, Special Adviser to the Administrator of the United Nations Development Programme (UNDP). Other attendees were: Mr. Edwin Carrington, Secretary General of the Caribbean Community; Mr. Gerald Miles, Head of Environmental Management and Planning, South Pacific Regional Environment Programme; Mr. Wayne Tamangaro King, Project Manager, Pacific Islands Climate Change Assistance Programme, South

* The member States of the Alliance of Small Island States are Antigua and Barbuda, Bahamas, Barbados, Belize, Cape Verde, Comoros, Cook Islands, Cuba, Cyprus, Dominica, Fiji, Grenada, Guinea-Bissau, Guyana, Haiti, Jamaica, Kiribati, Maldives, Malta, Marshall Islands, Mauritius, Micronesia (Federated States of), Nauru, Niue, Palau, Papua New Guinea, Sao Tome and Principe, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Samoa, Seychelles, Singapore, Solomon Islands, Suriname, Tonga, Trinidad and Tobago, Tuvalu, Vanuatu. The following are observers: American Samoa, Guam, Netherlands Antilles, United States Virgin Islands.

Pacific Regional Environment Programme; Dr. Russell Howorth, Programme Manager, South Pacific Applied Geoscience Commission; Ms. Fay Durrant, Director of the Association of Caribbean States; Mr. Nichol Gabriel, Representative of the Commonwealth Secretariat; Mr. Taholo Kami, Manager, Small Island Developing States Network; Professor Lino Briguglio, University of Malta; and Mr. Lelei LeLaulu, Vice President, Board of Directors of Counterpart International.

4. The Heads of State and Government of AOSIS recalled that five years ago in Barbados, small island developing States and the international community spoke of the need to send a strong message to the world's peoples of the unlimited development opportunities to be achieved when pursued in partnership and with a sense of common purpose. It was agreed then that the sustainable development of island nations was both essential and achievable. They emphasized that the Programme of Action for the Sustainable Development of Small Island Developing States was the first meaningful and concrete effort at a global alliance for the pursuit of sustainable development.

5. The Heads of State and Government of AOSIS reaffirmed that small island developing States have a strong sense of ownership of, and are deeply committed to, the principles and aims of the Programme of Action. They noted, however, that although the special circumstances of small island developing States were recognized and acknowledged at Rio de Janeiro and Barbados, little was being done at the international level today to assist small island developing States in overcoming their unique problems.

6. The Heads of State and Government of AOSIS welcomed the convening of the twenty-second special session of the General Assembly to review the implementation of the Programme of Action, which would be held on 27 and 28 September 1999 at United Nations Headquarters. They emphasized that the convening of the special session was timely and of critical importance.

7. The Heads of State and Government of AOSIS expressed concern that adequate, predictable, new and additional financial resources in support of implementation of the Programme of Action had not been provided by the international community. They also expressed concern at the overall decline in concessionary financial assistance to small island developing States, noting in particular the decline in official development assistance (ODA). They recalled that the commitment of the international community to support small island developing States made in Barbados was based on their acknowledgement that such joint action was essential for the effective implementation of the Programme

of Action. They therefore called upon the international community to provide funding for the full implementation of the Programme of Action. They also urged developed countries to increase their ODA to meet the agreed United Nations target of 0.7 per cent of their gross national product.

8. The Heads of State and Government of AOSIS therefore emphasized the need for the international community to assist small island developing States in advancing their sustainable development strategies, including through support for the full exploration and sustainable utilization of their limited natural resources, in particular in the areas of renewable energy, sustainable tourism development, agriculture and fisheries, coastal and marine resources, freshwater resources, and resources for the preservation of biodiversity.

9. The Heads of State and Government of AOSIS recalled that small island developing States presented over 300 project proposals for implementation within the context of the Programme of Action at a donor conference held at United Nations Headquarters in February 1999. They noted that these projects were still awaiting funding. They therefore urged the donor community to respond positively by providing funding for the implementation of these proposals, in accordance with paragraphs 91 to 95 of the Programme of Action.

10. The Heads of State and Government of AOSIS also expressed concern that the pace and terms of globalization and trade liberalization had seriously affected the economies of small island developing States, undermining their efforts to achieve sustainable development. They were particularly concerned at the serious risk of marginalization in the emerging global economic order, which their economies face in the areas of trade, investment, commodities and capital markets, despite domestic reform efforts undertaken to facilitate integration into the international economy. They emphasized the serious negative effect that the erosion of trade preferences was having on the economies of small island developing States, and reaffirmed the need for the international community to address the limitations and vulnerabilities of the economies of small island developing States through continued market access and through special and differential treatment in the international trading system. In this regard, they welcomed the progress made in the development of a vulnerability index which should be used as one of the criteria for determining special and differential treatment for small island developing States in trade, and for concessional treatment in financing and monetary matters. They also reaffirmed the importance of ensuring the full and effective participation of small island developing States in all relevant international forums, including in the multilateral

trade, financial and monetary institutions, and called for the support of the international community to assist small island developing States in that regard.

11. The Heads of State and Government of AOSIS reaffirmed their responsibility as custodians of large areas of the world's oceans, and underscored their commitment to ensuring wider protection of marine resources and ecosystems. They called for a focused and coherent approach by the United Nations system in dealing with ocean and law of the sea issues. They expressed concern at the continued use of drift-nets, and called upon the international community to ban the use, manufacture and resale of drift-nets, and to address other unsustainable fishing practices. They undertook to continue to cooperate in the further development of international maritime codes, especially as they relate to the sustainable development and management of marine resources. They also expressed support for the decision of the countries of the wider Caribbean region to recognize the Caribbean Sea as a special area in the context of sustainable development.

12. The Heads of State and Government of AOSIS affirmed that the issue of climate change remained an urgent, principal concern for small island developing States. They expressed concern that unchecked climate change would have devastating effects on small island developing States, threatening the well-being and the very survival of island communities, and that these effects were at present being experienced in all regions. Climate change would further undermine the efforts of small island developing States to achieve sustainable development. They therefore asserted that global warming and sea-level rise should be given higher priority by the international community. They emphasized that the efforts of the developed countries to reduce emissions of greenhouse gases should be strengthened and accelerated. They also expressed the need for further international assistance for small island developing States to enable them to plan for longer-term adaptation to the effects of climate change. They noted that the Kyoto Protocol to the United Nations Framework Convention on Climate Change was a modest first step in the right direction but that so far only small island developing States had ratified the Protocol. They therefore urgently called upon annex I parties to the Convention to ratify the Kyoto Protocol. They also undertook to continue cooperation in the search for and promotion of adaptive solutions, through the sharing of information and consultation in relevant forums.

13. The Heads of State and Government of AOSIS expressed concern at the increasing incidence and magnitude of natural disasters and their devastating effect on the

communities of small island developing States. They called for the international community to support appropriate initiatives and mechanisms for strengthening regional and national capabilities for natural disaster prevention, mitigation and rehabilitation, making early warning a key element within these efforts. They emphasized the importance of an international framework of assistance for natural disaster reduction and response, and welcomed the progress made on cooperative arrangements put in place during the International Decade for Natural Disaster Reduction.

14. The Heads of State and Government of AOSIS also reaffirmed their opposition to the transportation of hazardous and nuclear materials through the exclusive economic zones of small island developing States, and recalled that the right to ban such movement and transportation was formally accepted in the Programme of Action. They recognized the need to pursue initiatives within the existing international legal regime in order to formally defend that right. They exhorted the international community to ensure that the principle of State responsibility is more vigorously enforced, and to ensure that the environment of small island developing States is protected from the threat of such materials and not adversely affected by pollution from these sources. They also asserted that there exists a special responsibility of the international community and the United Nations system to those people of small island developing States, who have been adversely affected and are suffering as a result of nuclear testing programmes, in giving appropriate assistance for cleaning up, disposal of or containment of radioactive contaminants, and other measures to restore their safety, productivity and well-being.

15. The Heads of State and Government of AOSIS stressed the need for further capacity-building measures in support of small island developing States, especially in areas of relevance to national sustainable development plans. They reiterated the need for the international community to play a more supportive role in assisting small island developing States in this effort. They recognized the Small Island Developing States Information Network (SIDSNET) as a valuable tool in capacity-building, in particular through its programmes for Internet training and the scope offered for enhanced communication and for technical cooperation among small island developing countries. They also urged the strengthening of the Small Island Developing States Unit in the Department of Economic and Social Affairs of the United Nations Secretariat. They further requested the designation of focal points for small island developing States in all United Nations agencies.

16. They noted that the directory of experts of small island developing States published by the Special Unit for Technical Cooperation Among Developing Countries of UNDP requires urgent updating and they requested that it be made available on-line, so as to enhance access to it. They also emphasized the need for improved data collection by the United Nations system on information relevant to the implementation of the Programme of Action. This should include national sustainable development statements and policies, and quantifiable and verifiable indicators. They strongly recommended that the Small Island Developing States Unit of the Department of Economic and Social Affairs be revitalized and mandated to undertake the overall coordination and facilitation of efforts to implement the Programme of Action within the United Nations system.

17. The Heads of State and Government of AOSIS expressed their gratitude to the members of the Alliance for their efforts on behalf of the member States. They expressed their thanks to the Chairman and the many officials who had worked tirelessly to accomplish the goals of AOSIS in many international negotiations. Gratitude was also expressed to AOSIS member States which had hosted meetings of experts and workshops. They encouraged the pursuit of further cooperation among AOSIS member States, and support for increased participation of the wider AOSIS membership in meetings and workshops held in AOSIS regions, especially in the fields of biodiversity, climate change, energy, international law, oceanic research, coastal zone management, tourism and resource management.

18. The Heads of State and Government of AOSIS agreed to exchange views at future meetings on the direction of their work and on the status of the Alliance, to ensure that AOSIS remains a forum to promote the shared interests of its member States and to strengthen cooperation among them.

19. The Heads of State and Government of AOSIS expressed the hope that the twenty-second special session of the General Assembly would be a catalyst for enhanced international participation and support in the implementation of the Programme of Action, and that its outcome will represent a mutual agreement on the most effective strategy to address the sustainable development needs of small island developing States. Such an agreement would have to reflect the need for continued monitoring and ongoing assessment, with a further comprehensive review of the Programme of Action in 2004.



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Agenda item 9
General debate

Letter dated 25 September 1999 from the Chargé d'affaires a.i. of the Permanent Mission of Yugoslavia to the United Nations addressed to the President of the General Assembly

The statement of Rexhep Meidani, President of the Republic of Albania, in the general debate of the fifty-fourth regular session of the United Nations General Assembly on 23 September 1999 is not a novelty in the overall behaviour of the Republic of Albania towards the Federal Republic of Yugoslavia and comes as the last harangue in a string of falsehoods and undocumented allegations levelled against my country. It confirms the continuity of Albania's hostile policy and overt aspirations towards Kosovo and Metohija, an integral part of the Republic of Serbia and the Federal Republic of Yugoslavia.

By abusing the rostrum of the world parliament, President Meidani sought once again to divert the attention from the situation in his own country and, by attacking the Federal Republic of Yugoslavia and its leadership, to conceal the real role of the Republic of Albania in fomenting the crisis in the southern Serbian Province, which came as a culmination of decades-long Albanian territorial aspirations towards this part of the integral territory of the sovereign Federal Republic of Yugoslavia.

By falsely accusing the Federal Republic of Yugoslavia and its leadership and by taking the aggression of the North Atlantic Treaty Organization (NATO) against the Federal Republic of Yugoslavia as a screen for its servile, but active support to this illegal act, the Republic of Albania cannot hide its own direct responsibility for a gross violation of the basic principles of the Charter of the United Nations, the Helsinki Final Act and the Paris Charter, as well as of all other internationally recognized legal acts of the contemporary legal order. There is abundant evidence to substantiate this fact.

1. The Republic of Albania is the only country in the world and the only Member State of the United Nations and the Organization for Security and Cooperation in Europe (OSCE) that has officially recognized and actively supported the illegal separatist creation of the so-called Republic of Kosovo, proclaimed in the sovereign Yugoslav territory. Besides, it allowed that illegal creation to open its "representation" in Tirana. Albania has not recalled these decisions, which constitute a glaring example of the most flagrant violation of the Charter of the United Nations and the basic OSCE documents and principles.



2. The Republic of Albania has purposefully shifted its own chaos and lawlessness onto the Albanian minority in the neighbouring Federal Republic of Yugoslavia, encouraging it to be disloyal to the State in which it lives. It is widely known that the Republic of Albania took an active part in creating and arming the terrorist/separatist so-called Kosovo Liberation Army (KLA). It transformed a large part of its territory into a KLA logistics base, a large-scale boot camp, as it were, for armed aggression and terror against civilians and Yugoslav security forces in the territory of the Federal Republic of Yugoslavia. Albania's direct and profuse assistance to KLA terrorists and the refusal to secure its side of the Yugoslav-Albanian border and to prevent the terrorists, arms and drug smugglers and other armed criminals from crossing into the Yugoslav territory resulted in pogroms and genocide of the Serbs, Montenegrins and other non-Albanians of Kosovo and Metohija, the victims of which have often been the loyal Yugoslav citizens of Albanian ethnicity as well. President Meidani is conveniently silent about the enormous human losses and vast material damage caused by the policy of his country in the Federal Republic of Yugoslavia, for which he and his country bear direct responsibility. That policy is portrayed by President Meidani as a struggle for the protection of human rights.

3. The deployment of United Nations presences in the southern Serbian Province has not deterred the Republic of Albania from rendering support to terrorists. Confident of steady and continued support and assistance by neighbouring Albania, on the one hand, and encouraged by the tolerant attitude of KFOR and the United Nations Interim Administration Mission in Kosovo (UNMIK), on the other, the KLA terrorists and other armed Albanian gangs continue their terror on a daily basis, aimed at ethnically cleansing the Province of the non-Albanian population. The fact that over 250,000 Serbs, Montenegrins, Roma, Turks and other non-Albanians have been driven out of the Province, that over 230 of them have been killed and that over 300 have been abducted, while tens of thousands of apartments and houses have been broken and moved into is telling evidence of who is responsible for the worrisome developments in Kosovo and Metohija.

4. The true face of the policy of the Republic of Albania towards the Federal Republic of Yugoslavia and its entire population regardless of national and/or religious background was laid bare by its direct support to, and participation in, the NATO aggression against the people of the Federal Republic of Yugoslavia in which thousands of civilians were killed and vast material damage was done. The Republic of Albania thus aligned itself with aggressors and those responsible for the international crime against humanity and the crime of genocide. The hauteur with which President Meidani trumpeted the support to, and the role of his country in, the crime without precedent in recent European history from the rostrum of the world organization may open the NATO door to Albania, but it will not, nor can it, free its leaders from responsibility for the crimes they have committed.

5. The statement of President Meidani was unapologetic and persistent in its consistency. This is further proof that the Albanian leadership, even though very vocal in calling for maintaining relations among the States of the region that would be based on democratic and other principles of the Charter of the United Nations, the Helsinki Final Act and the Paris Charter, has not given up its retrograde ambitions and goals. This is particularly true of its active work towards realizing the project of Greater Albania at the expense of a number of the sovereign States of the Balkans, primarily the Federal Republic of Yugoslavia. These aspirations were made crystal clear also by Albanian Prime Minister Paskal Majko who visited Pristina in the wake of the NATO aggression without ever bothering to abide by the relevant diplomatic procedure provided for by the Vienna Convention on Diplomatic Relations and by his statement made upon return to Tirana to the effect that there was a need for establishing single educational and telecommunication infrastructure systems for all

Albanians irrespective of where they happened to live and for building a road link between Durres and Pristina as if the two cities were in the same State.

6. The policy of the Republic of Albania towards its neighbours, its transformation into a springboard for arms smuggling, illicit trade in narcotics and a safe haven for organized international crime and its unrestrained meddling in the situation in Kosovo and Metohija have made Albania into the greatest threat to peace in the Balkans and in Europe as a whole. Attempts to mask the fact by attacking others cannot be disguised, nor can the international community be hoodwinked by such attempts.

The Federal Republic of Yugoslavia is committed to a policy of peaceful cooperation and good-neighbourly relations, based on strict respect for the principles of sovereignty, territorial integrity and non-interference, and is open for the promotion of regional security and cooperation that it expects from every other nation of the region. The Republic of Albania can make a contribution to the achievement of these noble goals if it relinquishes its goals of creating Greater Albania and discontinues its support to terrorists, arms smugglers and traders in narcotic drugs and other criminal elements serving the ignoble cause of undermining the peace and security of the entire region.

I should be grateful if you would have the present letter circulated as a document of the General Assembly under agenda item 9.

(Signed) Vladislav Jovanovic
Chargé d'affaires, a.i.



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Agenda item 76 (o)

General and complete disarmament: Illicit traffic in small arms

Small arms

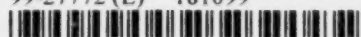
Report of the Secretary-General

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I. Introduction

1. By its resolution 53/77 T of 4 December 1998, the General Assembly requested the Secretary-General to hold broad-based consultations with all Member States, interested regional and subregional organizations, international agencies, and experts in the field on:

(a) The magnitude and scope of the phenomenon of illicit trafficking in small arms;

(b) Possible measures to combat illicit trafficking in and illicit circulation of small arms, including those suited to indigenous regional approaches;

(c) The role of the United Nations in collecting, collating, sharing and disseminating information on illicit trafficking in small arms.

2. The General Assembly asked that the consultations take into account the ongoing work of the Group of Governmental Experts on Small Arms. The Group, mandated by the General Assembly, in pursuance of resolution 52/38 J of 9 December 1997, to review the progress made in implementing the recommendations of the Panel of Governmental Experts on Small Arms and to make further recommendations, completed its report in late July 1999 (A/54/258).

3. Pursuant to the request that the Secretary-General hold broad-based consultations on the issue of illicit trafficking in small arms,¹ all Member States were invited to communicate their views on the three issues outlined in paragraph 1 of resolution 53/77 T (see annex I below for their replies).² The Department for Disarmament Affairs, United Nations Secretariat, also invited regional groups and organizations,³ and research institutes and non-governmental organizations⁴ to submit their views. Further, representatives of the Department for Disarmament Affairs consulted with other groups and organizations known to have an interest in issues related to illicit trafficking in small arms⁵ and participated in relevant seminars and workshops.⁶

4. In addition to the general consultations, two United Nations regional workshops were held in areas affected by the excessive and destabilizing accumulation of small arms and light weapons. The workshops were not intended to develop or identify consensus among their participants or to provide a definitive picture of the problems posed by the illicit trafficking of small arms in those regions. Rather, they were planned as opportunities for building better understanding of the illicit small arms trafficking issue through information-sharing.

5. The first workshop was held in Lima, Peru, from 23 to 25 June 1999, and focused on illicit trafficking issues in the Latin American and Caribbean region.⁷ It was organized by the Department for Disarmament Affairs and the United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean, based in Lima.⁸ Delegations and representatives from Antigua and Barbuda, Argentina, Austria, Bolivia, Brazil, Canada, Chile, Colombia, Cuba, Ecuador, El Salvador, Finland, Germany, Guatemala, Haiti, Italy, Jamaica, Japan, Mexico, Netherlands (and Netherlands Antilles), Paraguay, Portugal, Spain, Switzerland, Trinidad and Tobago, Peru, and Uruguay participated in the discussions, together with representatives of the Caribbean Community (CARICOM) secretariat and the Organization of American States (OAS) secretariat. The workshop also benefited from the participation of representatives of the Centre for Defence Studies (United Kingdom of Great Britain and Northern Ireland), the International Criminal Police Organization (INTERPOL), Organismo para la Proscripción de Armas Nucleares en la América Latina y el Caribe (OPANAL), United Nations International Drug Control Programme, United Nations Development Programme (UNDP) and the United Nations Information Office/Lima.

6. The second workshop,⁹ held from 2 to 4 August 1999 in Lomé, Togo, was organized by the Department for Disarmament Affairs and the United Nations Regional Centre for Peace and Disarmament in Africa, headquartered in Lomé.¹⁰ The workshop focused on illicit trafficking issues from the African perspective. Delegations from Algeria, Benin, Burkina Faso, Cameroon, Congo, Democratic Republic of the Congo, Egypt, Gabon, Gambia, Ghana, Kenya, Liberia, Mali, Namibia, Niger, Nigeria, South Africa, Sudan, Togo, Uganda, the United Kingdom of Great Britain and Northern Ireland, and Zambia participated in the workshop as well as representatives of several regional organizations — the Southern Africa Development Community (SADC) secretariat, and the Economic Community of East African States (ECCAS). Representatives of the United Nations Children's Fund (UNICEF), the United Nations Institute for Disarmament Research (UNIDIR), INTERPOL's Southern Africa Bureau at Harare, Zimbabwe, and the Department of Peacekeeping Operations, United Nations Secretariat, also participated, as did representatives of several non-governmental organizations — the British-American Security Information Council (BASIC, London/Washington, D.C.), the Centre for Democratic Empowerment (Monrovia, Liberia), Femme et Famille (Niamey, Niger), International Alert (London), and the Institute for Security Studies (Pretoria, South Africa).¹¹

7. Prior to the workshops, the Department for Disarmament Affairs distributed a questionnaire to prospective participants, including representatives of regional organizations and non-governmental organizations (see annex II).¹²

8. The following are a number of other recent United Nations reports relevant to the issues that are the subjects of consultations on illicit traffic in small arms:

(a) "Report of a consultative meeting of experts on the feasibility of undertaking a study for restricting the manufacture and trade of small arms to manufacturers and dealers authorized by States" (A/54/160, of 6 July 1999);

(b) "Report of the Group of Experts on the problem of ammunition and explosives" (A/54/155, of 29 June 1999);

(c) "Assistance to States for curbing the illicit traffic in small arms and collecting them" (A/54/309, of 3 September 1999);

(d) Reports of the Chairman of the Security Council Committee established pursuant to resolution 864 (1993) concerning the situation in Angola, on the implementation of the sanctions imposed against the União Nacional para a Independência Total de Angola (UNITA) (S/1999/644, annex, of 4 June 1999; S/1999/829, annex, of 28 July 1999);

(e) *Report of the Disarmament Commission*, annex III. Guidelines on conventional arms control/limitation and disarmament, with particular emphasis on consolidation of peace in the context of General Assembly resolution 51/45 N (A/54/42, of 6 May 1999).

9. By resolution 53/111 of 9 December 1998, the General Assembly established an ad hoc committee open to all States to elaborate an international convention against transnational organized crime. The ongoing negotiations at the United Nations Office at Vienna to elaborate a revised draft protocol against the illicit manufacturing of and trafficking in firearms, ammunition and other related materials, supplementary to the United Nations Convention against Transnational Organized Crime, are of immediate relevance to these consultations and small arms issues generally.¹³ The intergovernmental ad hoc committee plans to conclude those negotiations in the year 2000.

II. Magnitude and scope of the phenomenon of illicit trafficking in small arms

10. The first issue addressed in the consultations was the magnitude and scope of illicit small arms trafficking.

Although the consultations revealed that it was difficult to obtain reliable information, the participants¹⁴ did identify a number of factors that shed some light on the dimension and character of illicit small arms trafficking.

Quantity

11. The consultations demonstrated that it is difficult to quantify small arms trafficking. Some of the participants were able to provide national statistics about weapons that had been confiscated or reported stolen or about weapons recovered in mop-up operations, through demobilization programmes or during collection campaigns. They were, however, not able to provide reliable data on the quantity of small arms involved in illicit trafficking within a State, a region or globally, although some offered data of an illustrative nature.¹⁵

12. Quantifying the illicit trade in small arms and light weapons is difficult, because the activity is by nature clandestine and outside the law. In addition, while various reporting mechanisms have been established with respect to the legal trade of major conventional weapons, notably the United Nations Register of Conventional Arms, no such mechanisms have been created which cover the legal trade of small arms. Further, data sources such as statistics and reports about seized and surrendered small arms are not readily available, especially for the States most affected by illicit trafficking in small arms. Finally, while military, security and police intelligence sources in some States and subregions have begun to develop a capacity to gather and analyse information relevant to illicit small arms trafficking, the resulting information is largely operational in orientation and routinely designated as protected material and thus not easily shared.

13. In these circumstances, the national and international authorities and organizations dealing with small arms trafficking issues are largely dependent on information of an informal, unofficial nature drawn from media reports and articles, reports from humanitarian aid officials, and police and intelligence sources. Recognizing these limitations, the participants in the consultations generally agreed that the best efforts to measure the global volume of the illicit trade in small arms would only produce crude estimates. While reliable estimates would help Governments and international organizations working to prevent conflicts from occurring or intensifying, for the present it is evident that there is a ready supply of small arms available to armed groups, criminal organizations and individuals willing to engage in illicit transactions. In this regard it is useful to recall the

observation of the Panel of Governmental Experts in the 1997 report of the Secretary-General on small arms:

The terms "excessive" and "destabilizing" are relative and exist only in the context of specific regions, subregions or States. The mere accumulation of weapons is not a sufficient criterion by which to define an accumulation of weapons as excessive or destabilizing, since large numbers of weapons that are under the strict and effective control of a responsible State do not necessarily lead to violence. Conversely, a small number of weapons can be destabilizing under certain conditions.¹⁶

Size and methods of illicit transactions

14. The volume of small arms involved in individual illicit transfers, as revealed by reports of intercepted and seized shipments, varies considerably from region to region and within regions. In most States, authorities report that the majority of the attempts to import or traffic weapons illegally involve only a small number of items, perhaps only one or two guns. In such cases, the traffickers are taking advantage of the ease of concealing such weapons in commercial and private vehicles or inside legitimately exported goods. While this is the dominant pattern of small arms trafficking for many countries participating in the consultations, it is not the only one. Much larger shipments and more complex transactions using transport trucks and cargo planes to supply armed groups and transnational criminal organizations have been reported in some subregions.¹⁷

Sources of illicit arms

15. The consultations suggest that the majority of the small arms used in recent conflicts or contributing to post-conflict violence have been recycled from earlier conflicts or stolen or sold from military and security force arsenals during periods of governmental instability or collapse. These weapons flow rapidly to other conflicts or to criminal organizations or are cached for future use. Sizeable quantities of weapons have also been distributed by some Governments to their populations. There are also reports that a significant number of small arms are stolen from legitimate owners including individuals, businesses, police and military installations and other governmental agencies. The potential magnitude of this phenomenon is illustrated by the experience of South Africa where some 60,000 firearms were reported stolen and another 7,000 lost in the period 1995-1997. Less than 50 per cent of the firearms were subsequently recovered.¹⁸ Because recycled and stolen

weapons are removed from any form of state control, police, peacekeepers and other authorities cannot easily identify their most immediate origins or trace their chain of possession. Nevertheless, observers believe that most of the used and stolen weapons are recycled within subregions and regions, although there is sound evidence of illicit trafficking in recycled weapons between regions.¹⁹

16. The apparent prevalence of recycled and stolen small arms does not diminish the significance of newly manufactured weapons as a source of supply for armed groups, criminals and others. Intelligence sources and reports of seized and confiscated weapons indicate that small and large lots of small arms are commonly diverted from legitimate commercial sources through unauthorized and illegal sales, theft, fraud and official corruption. In some countries and subregions, police authorities report that handguns destined for criminals and others in urban areas are the most common small arms involved in the illicit trade of new weapons.

17. The information gathered in the consultations suggests that illegally manufactured and modified weapons, including explosive devices, made by skilled personnel, do contribute to conflicts and organized criminal activities in some localities. Most of the reports of illegally manufactured or modified weapons seized by police, however, concern fairly crude homemade items such as "zip guns" and "sawed-off" rifles that, while lethal in specific criminal incidents, do not appear to contribute to excessive accumulations of small arms.

Suppliers

18. The profiles of those involved as suppliers in illicit small arms trafficking vary with the nature of the transactions involved. The larger and most significant transactions — those supplying major criminal organizations and armed groups — may involve many culpable actors. The delivery of several hundred weapons and related munitions through illicit channels may involve brokers, a number of suppliers, financial or transportation services, and the resources to obtain or falsify documents. It is believed that the traffickers directly involved in these transactions are increasingly other armed groups, mercenaries, criminal organizations and corrupt governmental and business officials. Although some of these actors may be motivated by ideological interests or group affiliation, financial gain is likely the most common motivation.

19. Individuals ranging from common criminals to former combatants who may only infrequently deal in weapons also sustain the illicit movement of small arms. The information

obtained during the consultations indicates that these individuals tend to act alone or in small groups, without outside financial or transportation resources. In many regions the most common small arms suppliers of this type are petty criminals trading in stolen and diverted weapons simultaneously with other criminal activities. In conflict, post-conflict and politically unstable environments, combatants, former combatants and others are reported to trade in small arms for sustenance, status, or self-protection.

Financing illicit purchases

20. In the past, States were the principle source of the weapons supplied to armed groups. While state sponsorship of such groups continues, it is not as common.²⁰ The consultations reveal that armed groups increasingly depend on criminal activity to finance illicit weapon purchases. The criminal acts involved include kidnapping, extortion, banditry, commodities/contraband smuggling, illegal trade in precious stones, the illegal diversion of oil and other resources, and drug production and trafficking.²¹ In these circumstances, the armed groups may become partners with or rivals of criminal organizations that are also dependent on the proceeds of crime to purchase arms. These activities seriously damage local and national economies, weaken state institutions and threaten public safety and security in the areas directly affected and beyond.

21. Some armed groups also obtain financing through funds raised from individuals, including refugees and nationals living abroad, who have common ideological or ethnic affiliations with the combatants. This financial support may be given without the knowledge that it will support arms purchases, illicit or otherwise.

Clients

22. The consultations identified the following categories of "clients" of illicit small arms trafficking: armed groups; criminal organizations; terrorists; individual criminals; private security services; mercenaries;²² and, private citizens. Armed groups, criminals and mercenaries have long been identified as important clients in illicit small arms transactions and, according to the consultations, remain the major concern in all regions. At the same time, many participants expressed concerns about the widespread demand among otherwise law-abiding individuals for weapons, even illegal weapons, for self-protection. This phenomenon is, of course, seen in conflict and post-conflict situations and in States that have distributed weapons to the general population during or in anticipation of conflicts. It also occurs in States that are experiencing political

instability and/or economic distress that has significantly reduced the capacity or credibility of state institutions. On a related point, the consultations revealed a growing concern about the role of private security forces and services and their potential to, among other things, contribute to small arms trafficking and excessive accumulations of small arms, both as suppliers and clients. Further, the consultations suggested that reliance on private security services, whether by Governments or citizens, aggravates tensions between civil society and the State and deepens distrust.

Types of weapons

23. The consultations suggest that handguns, assault rifles, light machine-guns and sub-machine-guns are among the most common items involved in the illegal movement and misuse of small arms. Illicit transfers of light weapons, including anti-tank, anti-aircraft and crew-serviced weapons, are less common and tend to be concentrated in areas of emerging or sustained internal conflicts. There are, however, reports of criminal organizations, particularly in drug-producing regions in South America and South-East Asia, obtaining such weapons to protect their operations from enforcement agencies and rivals. There is also a continuing concern about terrorist use of these types of light weapons.²³

Consequences

24. It is widely recognized that the small arms trafficking that supplies weapons to armed groups contributes to the intensity and duration of conflicts. Further, the widespread availability of small arms can frustrate efforts to bring about a cessation in fighting, establish the conditions for peace and implement peace agreements. The participants in the consultations described the magnitude of the human cost that resulted from such conflicts. Many of them made specific reference to the small arms-related injuries and death suffered by civilians as a result of military engagements and the abuse of small arms in post-conflict environments.²⁴ It was also reported that conflicts, pursued and sustained by the widespread availability of small arms, were having a devastating impact on children, not only as victims of conflict but increasingly as willing and unwilling combatants — child soldiers.²⁵

25. The consultations highlighted that excessive accumulations of small arms contributed to increased criminal activity and even outright lawlessness in some areas. In addition to its human and structural costs and lost development opportunities, criminal activity contributed to general conditions of insecurity within civil society and to tensions between Governments and citizens in regions

experiencing political and economic instability. The eradication of illicit small arms trafficking would not remedy the underlying political, economic, or social conditions that sustained the conflicts, criminality and tensions. It could, however, greatly reduce the risk that political, economic and social stability would be overwhelmed by easy and rapid recourse to weapons and a resulting upsurge in violence.

26. In summary, the consultations revealed that reliable data that could help quantify the magnitude and scope of illicit small arms trafficking were not available, a fact which underlined the need to devote resources to the collection of reliable data as an initial step in addressing the issue. The consultations did confirm, however, that the vast majority of States that participated suffered from the easy availability of small arms obtained through illicit trafficking. The characteristics and urgency of the trafficking problems faced by States and subregions, however, varied. States affected by the transit of weapons, for example, faced challenges different from those faced by States beset by rebellions, terrorist movements or criminal organizations. As efforts to combat illicit trafficking progressed, those considerations would have to be taken into account in data collection, research and consultation.

III. Possible measures for combating illicit trafficking in and illicit circulation of small arms, including those suited to indigenous regional approaches

27. As proposed in subparagraph 1 (b) of resolution 53/77 T, the participants in the consultations identified and elaborated measures against small arms trafficking that had been implemented locally, by national Governments, and through bilateral, subregional, regional, or international arrangements.²⁶ They also advanced proposals for further consideration.

National measures

28. The consultations reaffirmed that appropriate national policies and programmes are integral if not prerequisites to effective action against illicit small arms trafficking. The measures described or proposed include laws and regulations governing the manufacture, sale, possession and ownership of firearms and small arms, databases and registers of the small arms in the possession of citizens and in state inventories, enhanced and specialized police and border control services, weapons collection and destruction

programmes, measures to secure arms warehouses and storage facilities against theft and diversion by fraud, small arms moratoria, public education and awareness programmes, import-export controls, and trade policies to promote restraint in the transfer of small arms.

29. The consultations, especially the regional workshops, highlighted the ongoing need for States to exchange information about effective national measures, recognizing that solutions must be appropriate to the problems as they are experienced by individual States and crafted to accommodate its cultural, political, security and economic circumstances. It was also observed that the capacity of Member States to develop and implement national programmes varies considerably within and across regions. States beset by sustained conflicts, political instability, and economic distress are often caught in the paradox of facing an urgent need to combat small arms trafficking while lacking the political, economic and technical resources to do so. Accordingly, participants in the consultations emphasized the need in many cases for technical and financial assistance from and through appropriate international and regional bodies.

Weapons collection and destruction

30. The consultations identified and discussed small arms collections and destruction programmes and policies of at least three kinds: collection and destruction efforts responding to post-conflict situations;²⁷ general collection and destruction of small arms; and destruction of surplus stocks. The participants saw weapons collection and destruction measures in post-conflict situations as essential components of the implementation of peace agreements; disarmament, demobilization and reintegration (DDR) programmes and long-term peace-building. For that reason, it was noted that collection and destruction programmes should be incorporated into all peace agreements and their effective and credible implementation should be a priority for the United Nations and other participants in peacekeeping operations. The consultations suggest that some small arms collection/destruction plans and other DDR activities have not been as successful as hoped. Participants therefore urged greater efforts to design and test weapons collection and destruction strategies and the continuation of relevant "lessons learned" exercises undertaken by Department of Peacekeeping Operations, United Nations Secretariat.²⁸

31. States other than those in post-conflict situations are pursuing or considering general collection and destruction programmes to reduce or prevent accumulations of legally

and illegally held small arms that threaten public safety and security.²⁹ As with the programmes developed for post-conflict situations, the participants in the consultations saw a need for evaluations of current strategies and testing of new ideas for collection programmes.

32. It was noted in the consultations that the descriptions and identifying markings of confiscated, recovered and collected small arms were not routinely recorded, although such information would be valuable from two perspectives. First, a database of such information could help national, regional and international organizations begin to develop a more reliable profile of illicit trafficking, including sources of supply and interregional links. Secondly, past experience had shown that small arms confiscated, collected, and recovered did re-enter the illicit weapons market. Detailed records would help combat that type of criminal activity and reinforce the importance of secure storage and controls. It is relevant to note that the Group of Governmental Experts on Small Arms recommended in its report that the United Nations should, at an appropriate time, initiate its own study on the feasibility of establishing reliable and cost-effective ways of marking all small arms and light weapons.³⁰

33. While many States have policies on the destruction of confiscated and collected weapons, the consultations indicated that the destruction of surplus small arms as advocated by the Panel of Governmental Experts on Small Arms and reinforced by the Group of Governmental Experts on Small Arms³¹ was still uncommon. In that regard, it was noted that South Africa had announced plans to proceed with the destruction of surplus small arms held by its armed forces and other governmental institutions.³² Other countries such as Cambodia, the Netherlands and Sweden had also destroyed small arms.

Education and confidence-building

34. The consultations gathered information about and proposals for education, public information programmes and other community development strategies to heighten awareness about the importance of measures to combat illicit trafficking and the proliferation of illegal weapon ownership among citizens. Participants in the workshops noted that those and other efforts were needed to build public confidence in governmental institutions, especially law enforcement agencies, and to promote values consistent with the sustained development of a "culture of peace." Those goals, it was proposed, would be best served by allowing and encouraging the active participation of civil society, including community groups, faith-based organizations,

local leaders and non-governmental organizations, and especially women and women's organizations.

Bilateral and subregional cooperation

35. During the consultations, contributors described promising bilateral and multilateral initiatives to combat small arms trafficking. Examples of bilateral measures included the discussion between Mexico and the United States to establish protocols for cooperation in combating small arms smuggling, the authorization by Antigua and Barbuda to neighbouring States to act in "hot pursuit" situations, continuing joint operations by Mozambique and South Africa to locate and destroy weapons caches,³³ and the development of cooperative security measures by Argentina and Chile. The success of such undertakings is attributed to the direct participation of law enforcement, defence, and border control authorities from the participating States in all stages of planning and operation. This level of involvement, among other things, builds trust and facilitates effective information sharing and expanded cooperation among neighbouring States. The States of the Mercado Commun del Sur (MERCOSUR) — Argentina, Brazil, Paraguay and Uruguay — together with Chile and Bolivia, for example, have agreed to cooperate on a number of fronts, including the creation of a joint register of buyers and sellers of firearms, explosives, ammunition and related materials. In May 1999, senior representatives of police and security intelligence agencies and ministries of foreign affairs from these same States met in a workshop on small arms and regional security. The event, organized by the State Secretariat of Intelligence and the Ministry of Foreign Affairs of Argentina, in consultation with the Department for Disarmament Affairs, concluded, among other things, that there was need for regional action to deal simultaneously with the security and social development issues surrounding small arms proliferation.³⁴ In another example, the member States of the Southern African Development Community (SADC)³⁵ and the Southern African Regional Police Chiefs Cooperation Organisation (SARPPCO) have taken steps to expand operational cooperation and information-sharing in relation to small arms controls and trafficking.³⁶

Regional import/export controls

36. Recognizing that the diversion of weapon shipments is one source of illicit supplies and that traffickers successfully use fraudulent documentation to move weapons, many participants in the consultations proposed actions to strengthen import/export controls. The most widely discussed initiatives were the Inter-American Convention

against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and other Related Materials (hereafter referred to as the OAS Convention),³⁷ and the draft protocol against the illicit manufacturing of and trafficking in firearms, ammunition and other related materials, supplementary to the draft convention against transnational organized crime (hereafter referred to as the firearms protocol).³⁸

37. Like the OAS Convention, the firearms protocol seeks to establish standards for the management of international trade in small arms to combat illicit activities. At its core are two principles. The first is that each State, whether it is the importing, exporting or transit country, has the right and responsibility to review and authorize all transactions involving small arms. The second is that international cooperation is necessary to combat illicit trafficking. While the protocol would apply only to commercially traded firearms, its definition of "firearms" is sufficiently broad to encompass the weapons of primary concern to the Secretary-General's consultations undertaken in pursuance of resolution 53/77 T. The protocol's provisions would include, among other things, standards for weapons marking, import/export procedures, the maintenance of records, the creation of a focal point for information exchange among State parties, and a requirement for the registration and licencing of brokers.

Regional norms

38. Participants in the consultations discussed the need for norms and principles guiding small arms transfers. Some argued that solutions to illicit trafficking were directly dependent on the willingness and ability of States, whether producer or recipient countries, to exercise restraint in legal transfers so as to avoid creating or escalating excessive accumulations of small arms. For many of the participants, the development of greater transparency and confidence-building about legal small arms transfers and holdings was a key element in preventing destabilizing accumulations resulting from illicit trafficking or legitimate transfers. One such initiative was the Moratorium on the Importation, Exportation and Manufacture of Small Arms and Light Weapons in West Africa, declared by the Economic Community of West African States (ECOWAS).³⁹

39. The implementation of the Moratorium is supported by the Programme for Coordination and Assistance for Security and Development (PCASED), operated in cooperation with the United Nations Development Programme (UNDP) and United Nations Regional Centre for Peace and Disarmament in Africa. ECOWAS Ministers

of Foreign Affairs have given PCASED a mandate to promote and facilitate harmonization of national laws and administrative procedures, to support the collection and destruction of surplus and confiscated arms, and create a regional database and arms register. The register, which is intended to promote transparency and confidence-building, will include information on State-held small arms and light weapons. PCASED is also involved in public information and development activities supportive of good governance and the maintenance of a culture of peace.

40. Member States of the Organization of African Unity (OAU), at its summit meeting in Algiers in July 1999, called for the development of a coordinated African approach to illicit small arms trafficking, taking into account the experience and activities of subregional organizations. In pursuance of that goal, OAU will hold a conference of African experts on small arms in the year 2000.⁴⁰

41. Another instrument outlining a regional framework of norms for small arms transfers which was highlighted during the consultations was the European Union Joint Action on Small Arms. The Joint Action outlines principles and measures for preventing destabilizing small arms accumulations and commits the Union to providing financial and technical assistance to programmes that contribute to those principles and measures.

42. The consultations revealed that the variety of the measures being pursued by Member States in their efforts to combat illicit trafficking corresponded to the variety of manifestations of the problem. Since illicit trafficking is by definition an international phenomenon, solutions are being sought through bilateral, multilateral, regional and global approaches. The consultations made it clear that both law enforcement and disarmament measures were required to deal with the issue in all its aspects. The use of small arms by criminal elements and organized crime in many States was a growing concern that needed to be addressed through increased law enforcement and strong judicial measures as well as enhanced international cooperation. On the other hand, excessive and destabilizing accumulations of small arms continued to pose long-term threats to internal and international security in many subregions. The widespread availability of small arms must be addressed through a more holistic range of measures, including the promotion of confidence-building, transparency and arms reduction policies and the development of national and international norms governing small arms transfers. The consultations suggested that indigenous measures being developed or implemented at the bilateral and subregional level were immediate priorities for many Member States, largely because the shared problems were most evident at that level.

43. At the same time, the participants to the consultations recognized that the States and regions most affected by the problem could not foster lasting solutions to the problems posed by illicit trafficking in small arms without global support and cooperation. Such assistance could be forthcoming in two areas. First, without implying any order of priority, the technical and financial support of the donor community was needed to assist States and subregional organizations implement enforcement and control services, education and development strategies, transparency mechanisms, demobilization and reintegration programmes and other measures directly related to curtailing illicit arms supplies and reducing demand for those supplies. Secondly, the United Nations, INTERPOL, the World Customs Organization and other international bodies must give priority to, and increase the resources available for, measures to counter transboundary illicit arms trafficking and the criminal activity that provided the funds and fueled the demand for illicitly traded small arms of all types.

IV. Role of the United Nations in collecting, collating, sharing and disseminating information on illicit trafficking in small arms

44. The third issue addressed in the consultations was the role of the United Nations in collecting, collating, sharing, and disseminating information on illicit trafficking in small arms. Member States and others contributing to the discussion suggested that the United Nations could pursue activities focusing on illicit trafficking and promoting and facilitating greater transparency in relation to small arms transfers and holdings.

National legislation

45. National governmental authorities often seek information about the existing and emerging norms, practices and laws of other nations as they develop or revise their legislative regimes to combat small arms trafficking. This kind of information can also assist foreign and trade policy development and the administration of import and export procedures. The same information would be of interest to research institutes and non-governmental organizations. Participants in the Secretary-General's consultations suggested that the United Nations could facilitate access to that information by establishing and maintaining a repository of national legislation and

regulations relevant to all aspects of small arms and small arms trafficking.⁴¹

Best practices documentation

46. While it is relatively simple to obtain information about major international and regional initiatives, the same cannot be said for information about subregional, national or local efforts. Participants in the consultations have suggested that the United Nations could assist Member States and others planning and implementing measures against small arms trafficking by gathering and making available information about projects, programmes and other initiatives that had produced positive outcomes.

Transparency measures

47. Noting that data about legal transfers will help monitor illicit trafficking, participants in the consultations proposed that the United Nations develop and assist programmes to increase transparency in the transfer and holding of small arms. In that regard, some proposed that the United Nations Register of Conventional Arms should be modified to include small arms and light weapons. Alternatively, the United Nations could create a supplementary register or registers designed specifically for small arms and light weapons. The suggestions for expansion of the Register of Conventional Arms were accompanied by expressions of encouragement to all Member States to participate actively in the existing Register, which covered seven major conventional weapons categories: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft, attack helicopters, warships, and missiles and missile systems.⁴²

48. There were also proposals calling on the United Nations to provide support and technical assistance to Member States to develop supplementary regional or subregional registers. Such registers might be developed as complementary and contributing components in a possible global register of small arms. It was noted that supplementary regional or subregional registers might be easier to develop and implement because they would be based on the shared circumstances, needs, and security concerns of a smaller number of States.

49. It was further suggested that the United Nations could increase transparency and assist law enforcement and border control agencies by preparing and publishing lists of individuals, companies and organizations that had been authorized to manufacture or trade in small arms. The question of restricting the manufacture of and trade in small arms to authorized manufacturers and dealers was addressed

in "report of a consultative meeting of experts on the feasibility of undertaking a study for restricting the manufacture and trade of small arms to manufacturers and dealers authorized by States",⁴³ prepared in pursuance of paragraph 5 of General Assembly resolution 53/77 E of 4 December 1998, and the Group of Governmental Experts on Small Arms recommended in its report that the study should be completed in time for it to be considered at an international conference on the illicit arms trade in all its aspects, to be convened no later than 2001. The Group also welcomed proposals that such a study be extended also to cover brokering activities relating to small arms and light weapons, including transportation agents and financial transactions, and that the study should also address the illicit activities in those fields.⁴⁴ Similarly, participants in the consultations highlighted the need for measures to regulate and control the activities of arms brokers, transportation agents and others who facilitated small arms transfers.

Illicit trafficking trends and methods

50. A number of submissions and proposals reiterated the value of cooperation between relevant organizations and States in the identification of the groups and individuals engaged in illicit trafficking activities and the modes of transfer used by them.⁴⁵ Among other things, they proposed that the United Nations play a role in collecting and disseminating information by identifying geographical areas where large amounts of small arms have accumulated; preparing conflict-specific assessments of small arms trafficking; describing and publicizing known trafficking routes, methods and techniques; and listing companies, countries and individuals involved in violations of end-use certificates and unauthorized small arms transfers to third parties. Such information would be gathered from national, subregional, regional and international governmental and non-governmental sources, including United Nations field staff. A similar proposal is found in article XV of the draft firearms protocol.⁴⁶

51. Although the discussion focused on the United Nations role, it was noted that INTERPOL, through its International Weapons and Explosives Tracking System (IWETS), provided operational support and intelligence services to the police forces of 177 member States. The system was designed to collect, analyse and share information from police agencies about small arms and explosives incidents involving known international firearms traffickers, foreign nationals, large seizures of illegally imported weapons, terrorists acts, and thefts from manufacturers, import/export companies and other dealers. INTERPOL representatives, however, informed participants in the regional workshops

that its member organizations outside of Europe had tended not to contribute information to IWETS and, as a result, it had undertaken a review of the programme with plans to improve its usefulness to law enforcement agencies.

Technical assistance

52. The consultations suggested that the United Nations could further the goals of reducing and eradicating illicit arms trafficking by providing or facilitating technical expertise and financial assistance for the conversion, collection and destruction of surplus and confiscated small arms, the development of national data collection and reporting procedures, and training. Other areas in which technical and financial assistance would be welcomed included the development of supplementary regional or subregional registers, the creation of bilateral and multilateral mechanisms for information-sharing and operational planning, the development and maintenance of an information clearinghouse on institutions and agencies involved in small arms issues and reports of studies, research, and evaluations.

Support for the involvement of civil society

53. The consultations proposed that United Nations support measures in the States most affected by excessive accumulations of small arms by promoting the participation of civil society generally and through groups such as women's organizations, businesses, faith-based organizations and youth and educational institutions. It was also proposed that the United Nations facilitate awareness campaigns to expand global support for meaningful action to control illicit trafficking in small arms.

Other activities

54. Although the consultations focused on the role of the United Nations in collecting, collating, sharing and disseminating information on illicit small arms trafficking, the participants identified other activities for the Organization. It was proposed, for example, that the United Nations play a role in developing practices and procedures to deter counterfeiting and forgery of end-user certificates and in promoting the development of international norms and other measures addressing legal transfers of small arms.

V. Observations

55. The consultations held in pursuance of General Assembly resolution 53/77 T served to highlight the

multidimensional challenges posed by the illicit trafficking of small arms that must be addressed from many perspectives. The information gathered during the consultations reinforces the recognized view that small arms were widely and easily available to armed groups, criminals, mercenaries and terrorists. At the same time, the consultations suggest that endeavours to estimate illicit arms trafficking based on quantifiable data such as numbers of weapons, for example, might not be as useful or productive as obtaining information about the original and immediate sources of supply, suppliers and clients, the types of weapons involved, and the methods of financing. It was also seen to be possible to describe illicit small arms trafficking more specifically and reliably as it was experienced in different States and subregions. That would promote clearer descriptions of the different manifestations of the problem and facilitate bilateral and multilateral information-sharing and exchange on operational, policy and programme questions.

56. The observations above were made by Member States through submission of their views and participation in the two regional workshops. The consultations clearly pointed to the importance of understanding the differences in how the illicit trafficking of small arms is manifested over the widest range of subregions and regions. Indeed, further consultations in Latin America and the Caribbean and Africa will be necessary in order better to understand the problems posed by the illicit traffic in those regions. Moreover, there is need for information from Member States, subregional and regional organizations, non-governmental organizations and members of civil society in the Asia/Pacific region, particularly in South Asia, South-East Asia and Western Asia, and in Europe, particularly in Eastern Europe, and for an opportunity for them to participate.

57. Finally, the consultations affirmed the importance of viewing the disarmament and crime/law enforcement aspects of illicit small arms trafficking as complementary initiatives. Progress along both of those tracks held the best prospects of reducing the dangers posed by the destabilizing and excessive accumulation of small arms.

Notes

¹ The term "small arms" in this report includes small arms, light weapons and their ammunition consistent with the definition provided in the report of the Secretary-General on small arms, prepared with the assistance of the Panel of Governmental Experts on Small Arms (A/52/298, para. 26).

² Replies to the *note verbale* transmitted by the Department for Disarmament Affairs to all Members States, dated 23 March

1999 (DDA/12-99/ITSA), were received from Antigua and Barbuda, Bulgaria, Canada, Colombia, Cuba, Finland (on behalf of the States Members of the United Nations that are members of the European Union), Kyrgyzstan, Singapore, South Africa and Uruguay (see annex I).

³ The Department for Disarmament Affairs, United Nations Secretariat, addressed letters to the following organizations requesting relevant information; replies were received from those organizations marked with an asterisk: Organization of American States (OAS);* Mercado Commun del Sur (MERCOSUR); the Caribbean Community Secretariat (CARICOM);* the Commonwealth Secretariat, the European Union (EU); the Organization of African Unity (OAU);* the Southern African Development Community (SADC); the Economic Community of West African States (ECOWAS); the ASEAN Regional Forum (ARF); the South Asian Association for Regional Cooperation (SAARC); and the Association of Southeast Asian Nations (ASEAN). Copies of the replies are maintained by the Department for Disarmament Affairs.

⁴ The Department for Disarmament Affairs addressed letters to the following organizations requesting relevant information; replies were received from those organizations marked with an asterisk: IEPADES (Guatemala); CODEH (Honduras); the International Resource Group (Kenya); Regional Centre for Strategic Studies (Sri Lanka);* Mennonite Central Committee (Cambodia); the Institute for Security Studies (Pretoria);* International Institute for Strategic Studies (United Kingdom); the Swedish International Peace Research Institute (SIPRI);* Norwegian Initiative on Small Arms Transfers (NISAT); British-American Security Information Council (BASIC);* Graduate Institute of International Studies (Geneva, Switzerland); Bonn International Center for Conversion (BICC);* International Committee of the Red Cross (ICRC); International Alert;* Quaker United Nations Office; and the International Action Network on Small Arms (IANSA). Copies of the replies are maintained by the Department for Disarmament Affairs.

⁵ Consultations with representatives of the International Criminal Police Organization (INTERPOL) (Lyon, France, March 1999), the Stockholm International Peace Research Institute (SIPRI) (Stockholm, March 1999), and the United States General Accounting Office (New York, April 1999).

⁶ Workshop on Small Arms (Geneva, 18-20 February 1999); Seminar on the Removal of Small Arms and Light Weapons in the Context of Peace Missions (Stockholm, 11-12 March 1999); Experts' Meeting, Microdisarmament, Security and Development: Does the World Bank Have a Role? (Washington, D.C., 18-20 March 1999); Workshop on Proliferation of Small Arms, Ammunition and Explosives and Their Impact on Regional Stability (Buenos Aires, 17-18 May 1999); Partnership for Peace Workshop on Industrial Aspects of Small Arms (Baden, Switzerland, 28-30 June 1999).

⁷ Summary highlights of the Workshop on Illicit Trafficking in Small Arms: Latin American and Caribbean Issues (Lima, Peru, 23-25 July 1999), are available through the Conventional Arms Branch of the Department for

- Disarmament Affairs and via its Web site www.un.org/Depts/dda/CAB/index.htm
- ⁸ The United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean, originally opened in 1987, resumed its activities in December 1998 after a three-year suspension.
 - ⁹ Summary highlights of the Workshop on Illicit Trafficking in Small Arms: African Issues (Lomé, Togo, 2-4 August 1999), are available through the Conventional Arms Branch of the Department for Disarmament Affairs and via its Web site www.un.org/Depts/dda/CAB/index.htm
 - ¹⁰ The United Nations Regional Centre for Peace and Disarmament in Africa was established as at 1 January 1996, in pursuance of General Assembly resolution 40/151 of 16 December 1985, on the basis of a request contained in OAU resolution AHG/Res 138 (XXI) adopted at the twenty-first ordinary session of the OAU, 18-20 July 1985. The Lomé Centre resumed its activities in December 1998.
 - ¹¹ Representatives of the Organization of African Unity (OAU) secretariat and the current Chairman of the Southern African Regional Police Chiefs' Cooperation Organisation (SARPPCO) were scheduled to participate in the Lomé workshop but were obliged to cancel, due to other pressing obligations.
 - ¹² Representatives of Algeria, Botswana, Chile, Gambia and Kenya submitted replies to the questionnaire. The replies are available in the Department.
 - ¹³ A/AC.254/4/Add.2/Rev.2, of 19 July 1999.
 - ¹⁴ The term "participants" refers to the representatives of States, regional and international organizations and non-governmental organizations that submitted documents or attended the Lima and Lomé workshops during the consultations.
 - ¹⁵ See, for example, M. Renner, "Arms control orphans", and M. Klare, "The Kalashnikov age", *Bulletin of the Atomic Scientists* (Small Arms, Big Problems: A Special Issue), vol. 55, No. 1 (January/February 1999).
 - ¹⁶ A/52/298, para. 36.
 - ¹⁷ The illicit weapons shipments that were described in the consultations and other reports are not necessarily limited to "small arms". They may include heavier conventional weapons, parts and supplies.
 - ¹⁸ Note verbale of 24 June 1999 from the Permanent Mission of South Africa to the United Nations addressed to the Under-Secretary-General for Disarmament Affairs, in pursuance of the request contained in General Assembly resolution 53/77 T (see annex I below for full text).
 - ¹⁹ See "Final report of the International Commission of Inquiry (Rwanda)" (S/1998/1096, of 18 November 1998), para. 78.
 - ²⁰ *Ibid.*, para. 98.
 - ²¹ See, for example, the report of the Chairman of the Security Council Committee established pursuant to resolution 864 (1993) concerning the situation in Angola, on the implementation of the sanctions imposed against UNITA (S/1999/644, annex), of 4 June 1999.
 - ²² For further information about the role of mercenaries, see the report of the United Nations Special Rapporteur on mercenaries (E/CN.4/1999/11), of 13 January 1999.
 - ²³ This point was made by United States Secretary of State Madeleine K. Albright in an address to the annual convention for the National Association for the Advancement of Colored People (NAACP), New York, 13 July 1999.
 - ²⁴ For a discussion of the levels of injury and deaths associated with small arms, see *Arms Availability and the Situation of Civilians* (Geneva, International Committee of the Red Cross, 1999), p. 16.
 - ²⁵ See "Protection of children affected by armed conflict: Report of the Special Representative of the Secretary-General for Children and Armed Conflict" (A/53/482, annex), paras. 18-22.
 - ²⁶ The report of the Group of Governmental Experts on Small Arms (A/54/258, of 19 August 1999) and report of the Secretary-General on assistance to States for curbing the illicit traffic in small arms and collecting them (A/54/309, of 3 September 1999) provide additional detail on many of the measures and initiatives referred to in the consultations. They also describe measures and initiatives taken by States or regions not represented in the consultations.
 - ²⁷ Experience has been gained, for example, from weapons collection and destruction operations in post-conflict situations in Mali (March 1996), Mozambique (1995-present) and Liberia (July 1999), as well as from workshops and symposia, such as the Workshop on Weapons Collection and Integration of Former Combatants into the Civil Society: The Experiences of Guatemala, El Salvador, Honduras, Nicaragua and Colombia, Guatemala City, 18-20 November 1998.
 - ²⁸ See the Department's booklet *"Disarmament, demobilization and reintegration of ex-combatants in a peacekeeping environment: principles and guidelines"*, of July 1999.
 - ²⁹ Examples include "Operation Rachel" in South Africa and Mozambique, voluntary surrender and amnesty programmes in some Latin American countries, Jamaica's destruction of confiscated and seized guns, and the buy-back programmes of Australia and the United Kingdom.
 - ³⁰ A/54/258, para. 102. See other recommendations dealing with the issue of marking in paras. 115-116.
 - ³¹ *Ibid.*, paras. 111-112.
 - ³² See the note verbale dated 22 February 1999 from the Permanent Mission of South Africa to the United Nations addressed to the Secretary-General (A/54/70).
 - ³³ M. Chaciuca, *Operation Rachel: 1996-1999* (Pretoria, Institute for Security Studies, 1999), ISS Monograph Series, No. 38. See also A/54/64.
 - ³⁴ Workshop on Proliferation of Small Arms, Ammunition and Explosives and Their Impact on Regional Stability, Buenos Aires, Argentina, 17-18 May 1999.
 - ³⁵ The members of SADC are Angola, Botswana, Democratic Republic of Congo, Lesotho, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe.

- ³⁶ Institute for Security Studies, "*Linkages between crime, contraband, and illicit small arms*", paper presented to the Workshop on Illicit Trafficking in Small Arms: African Issues, Lomé, Togo, 2-4 August 1999.
- ³⁷ Adopted by the General Assembly of the Organization of American States on 13 November 1997. See A/53/78, annex. As of 31 July 1999, seven States (Belize, Bahamas, Mexico, El Salvador, Bolivia, Peru, and Ecuador) had ratified the Convention. See also the OAS home page: www.oas.org/en/prog/juridico/english/Sigs/a-63.html.
- ³⁸ See A/AC.254/4/Add.2/Rev.2 and A/AC.254/4/Rev.4.
- ³⁹ Moratorium on the Importation, Exportation and Manufacture of Small Arms and Light Weapons in West Africa (A/53/763-S/1998/1194), 31 October 1998.
- ⁴⁰ "Decision on the illicit proliferation, circulation and illicit trafficking of small arms and light weapons" (CM/2097 (LXX) Add.2, of July 1999).
- ⁴¹ A survey of national legislation and regulations relevant to firearms regulation is contained in *United Nations International Study on Firearm Regulation* (United Nations publication, Sales No. E.98.IV.2).
- ⁴² See A/52/316, annex.
- ⁴³ A/54/160, annex.
- ⁴⁴ A/54/258, annex, para. 103.
- ⁴⁵ *Ibid.*, para. 83.
- ⁴⁶ See A/AC.254/4/Add.2/Rev.2.

Annex I

Replies received from Governments

Antigua and Barbuda

In regard to paragraph 1 (a) of resolution 53/77 T, the Government of Antigua and Barbuda is at present seized with the matter of small arms in the country. The Attorney General on 28 March announced that he had ordered an intensification of the police crackdown on all illegal weapons in the country, and on the process of identifying and dealing with criminal elements in society.

In regard to paragraph 1 (b), Antigua and Barbuda has given larger countries with whom there is much friendship and cooperation in criminal activity the right of hot pursuit within its territorial waters. Though the specific reason centres around illicit trafficking in narcotics, it certainly includes gun-running and other forms of smuggling. Antigua and Barbuda is firm in its belief that matters of this nature should be brought under the ambit of the International Criminal Court.

With reference to paragraph 1 (c), the Government of Antigua and Barbuda, as a small country with limited resources and numerous vulnerabilities, considers it not only the role but the obligation of the United Nations to collect, collate, share and disseminate information on illicit trafficking in small arms to all countries.

Bulgaria

Extent and range of the phenomenon of illegal traffic of small arms and light weapons

Bulgaria takes an active part in the efforts of the international community to reduce conventional arms, including small arms and light weapons. Our country actively participates in the work of the United Nations Group of Governmental Experts on Small Arms and shares the observations and conclusions set out in the draft report of the Group concerning the reasons for the emerging, the seriousness and the scale of the problem regarding illegal traffic in small arms and light weapons, as well as the means to overcome it.

At the review of these and other issues connected with small arms and light weapons, Bulgaria considers that it should be noted that these kinds of weapons, by themselves, cannot cause a conflict or disturb an established strategic balance. Yet, at the same time, their excessive accumulation

and mass use in some sensitive regions can lead to complications or prolongation of the conflicts and cause considerable human casualties.

Proceeding from this understanding, when issuing permits for export of small arms and light weapons, the competent authorities of Bulgaria are particularly cautious and are led by the principle that such weapons are necessary only for defence purposes of the countries buying them and on account of that, such deliveries are made only for State/governmental institutions.

The main institutions, in Bulgaria, which control foreign trade activity with arms and dual-use goods and technologies are: the Interdepartment Council on issues concerning the military-industrial complex and mobilization readiness of the country, in the Council of Ministers of Bulgaria; the Commission for control and permission of foreign trade transactions with arms, dual-use goods and technologies, in the Ministry of Trade and Tourism; the Ministry of the Interior; and the General Customs Directorate in the Ministry of Finance.

At the National Service for Combating Organized Crime in the Ministry of the Interior, a department for generally dangerous means and proliferation functions to oppose smuggling and illegal transactions in strong or poisonous substances, explosives, arms, ammunitions, dual-use goods and technologies.

An analysis of information and statistics for the year 1998 and the first quarter of 1999 does not show any data for export of small arms done in violation of the international commitments of Bulgaria and its legal provisions. At the same time the data point out that the illegal trade in individual small arms and light weapons, internally, is stable.

In 1998 the specialized services of the Ministry of the Interior confiscated the following illegally owned individual small arms: 19 assault rifles, eight carbines, 63 rifles, 88 pistols, one grenade launcher, 10 hunting rifles, two self-made rifles.

During the first quarter of 1999: four assault rifles, three carbines, one rifle, seven hunting rifles and 18 pistols were confiscated.

During the above-mentioned period, customs administration authorities held up the following arms and ammunitions illegally transferred across the border: four pistols, 5,629 ball-cartridges, 259 parcels with parts and equipment for arms, including small arms and light weapons.

Possible measures to combat illegal trade in and illegal distribution of small arms and light weapons, including those suited to local regional approaches

Being a producer of several types of conventional arms, Bulgaria implements, on a national scale, normative regulations for control of the production, trade, possession and foreign trade activity in arms, dual-use/civil and military/goods and technologies which as a whole correspond to the international and European standards. The activity in this field, in particular, is regulated by:

(a) Law for Control of Explosives, Firearms and Ammunitions (*State Gazette*, issue 133 of 11 November 1998). The adoption of a regulation for its application is forthcoming;

(b) Regulation No. 15 of 25 February 1997, concerning the terms and rules for the import, export, transferring, trade, sale/trade, storing, collecting and carrying of firearms and ammunition and control over them (*State Gazette*, issue 18 of 28 February 1997; and its amendments, *State Gazette*, issue 39 of 7 April 1998);

(c) Law for Control of Foreign Trade Activity in Arms and Dual-use Goods and Technologies (*State Gazette*, issue 102 of 21 December 1995);

(d) Regulation for its implementation (*State Gazette*, issue 21 of 12 March 1996);

(e) Regulation for border check-points (*State Gazette*, issue 41 of 23 May 1997).

The cooperation of Bulgaria in international and regional terms in combating the illegal trade in small arms and light weapons is based on multilateral and bilateral instruments, namely:

(a) Protocol No. 6 for mutual assistance in customs activity in connection with article 93 (3) of the European agreement for association among the European communities and their member countries, on one hand, and Bulgaria, on the other hand (*State Gazette*, issue 33 of 20 April 1993, in force from 1 February 1995);

(b) Bilateral agreements signed at the government level regarding international cooperation and mutual assistance in customs activity with Austria, Turkey, Greece,

Romania, the Russian Federation, Ukraine, and Yugoslavia. The signing of a similar agreement with the former Yugoslav Republic of Macedonia is forthcoming;

(c) Drafts of similar agreements are being negotiated with Argentina, the United States of America, Croatia, Georgia, Armenia, Hungary, France, Moldova and Mongolia;

(d) A memorandum of understanding with the United Kingdom of Great Britain and Northern Ireland has been signed.

Bulgaria supports the following EU documents in this field: programme for combating and preventing the illegal trade with conventional arms; code of conduct on arms exports; decision for joint action on small arms and light weapons.

Bulgaria follows closely the development of these issues at international forums and in the leading countries, and actively participates, on bilateral and multilateral terms, in the dialogue regarding this delicate issue and continues to work for further updating and improving the legislation in this field. The active policy carried out by our country found its reflection in the seminar held in Sofia from 7 to 9 June 1999 on the issues of regional cooperation concerning the non-military and the newly originating risks and challenges for security and stability in South-Eastern Europe, including the distribution of small arms and light weapons and the mechanisms for preventing their illegal traffic. Bulgaria takes part in a newly formed ad hoc group on conventional arms problems.

According to the competent Bulgarian ministries, in order to effectively combat the illegal trade and illegal distribution of small arms and light weapons, in global terms, it is necessary for effective control to be exerted on the part of Governments, over the production of arms by working out and implementing relevant legal and administrative provisions and by using modern means of security and control in production facilities and depots, so as to prevent thefts; effective control to be exerted over the companies trading in small arms and light weapons, with a view to preventing sales not regulated by local legislation; the normative basis for trade in small arms and light weapons, and ammunitions and its consistent implementation to be improved; and the efforts of the international community to be coordinated and unified by working out and applying effective common approaches and measures in this field by all countries.

Role of the United Nations in collecting, comparing, exchanging and spreading information on illegal trade in small arms and light weapons

In international terms, Bulgaria strictly observes the restrictions evolving from the relevant resolutions and decisions of the United Nations, the Wassenaar Arrangement, the European Union, the Organisation for Security and Cooperation in Europe and other international regimes.

Bulgaria gives its support also by participating in the United Nations Group of Governmental Experts on Small Arms, which provides assistance to the Secretary-General in preparing recommendations for combating the illegal traffic in this field.

We support, as being particularly promising, the proposal to convene an international conference on the illegal traffic in small arms in all its aspects not later than the end of 2001.

Our country shares the view that, along with international efforts in global terms, there exist opportunities for a regional approach to the problem, for a constructive bilateral and multilateral dialogue with the countries in the region of South-eastern Europe on issues relating to the control and prevention of illegal traffic in small arms and light weapons. In this connection, attention should be paid to further exploring the possibility of increasing the scope of the United Nations Register and establishing regional and subregional registers with greater commitment on the part of the participating countries in search of a reliable solution.

When discussing measures for controlling traffic in small arms and light weapons in regional terms, it is advisable to have in mind the following:

(a) The wide distribution and the great number of small arms and light weapons, including those in south-eastern Europe, require a long time and means for realizing an effective control over this kind of special production;

(b) The measures aiming at establishing such control will be effective only if they are consistently applied in all countries of a given region;

(c) Working out specific programmes, including programmes for different regions and countries and providing assistance for their practical implementation will contribute, to a great extent, to success in combating the dangerous spread of those arms. The main thing in this direction is a complex approach to a problem that has got two facets:

(i) Effective control over all sections of the chain of supply of small arms and light weapons — from the manufacturer to the end-user;

(ii) Efforts to eliminate the root causes of conflicts and prevent new conflicts, putting an end to the existing ones, to support disarmament and full reintegration of combatants, and to improve the welfare of the affected societies.

Bulgaria considers the EU Joint Action of 17 December 1998 on combating the destabilizing accumulation and proliferation of small arms and light weapons to be an important step, because it provides a complex and comprehensive approach. Thus, Bulgaria supports the Joint Action and will work for its consistent implementation.

We consider that, as an element of the cooperation in this field and to facilitate the exchange of information on these issues, a classification could be worked out, based on specific weapons, that would discriminate between arms intended mainly for self-defence and arms with definitely offensive (aggressive) capacities and use, for which the ban should be more strict and overall.

According to us, close cooperation, including the exchange of information on a bilateral and multilateral/regional basis among the authorities for export customs and border control, is an effective tool against this kind of trade.

We regard measures for reducing the dangerous accumulation and sale of small arms and light weapons in potentially dangerous geographical regions as the first stage in a more extensive process leading to an effective international regime of control or to a convention analogous to the already existing ones on weapons of mass destruction and dual-use goods and technologies.

It would be useful if the United Nations through its Disarmament Department, would create the necessary database for the activity of governmental and non-governmental organizations participating in regional and subregional projects dealing with illegal trade in small arms and light weapons.

Discussion of this problem at various forums is a result of the growing attention it is provoking. At the same time, the necessity of concentrating international efforts and resources and of coordinating the separate forums in order to avoid dissipation of means and duplication of activities should be taken into consideration.

Bulgaria expresses its hope that the present view will be useful for further discussion of this important issue.

Canada

The magnitude and scope of the phenomenon of illicit trafficking in small arms

The excessive and destabilizing accumulation of small arms is pervasive, posing a threat not only to individual security but to national and international security as well. The problem has become acute since the end of the Cold War since there has been a pronounced change in the nature of modern conflict. Characterized by its sometimes exclusive use of military-style small arms and light weapons (from machine-guns and fully automatic rifles to grenade launchers and anti-tank missiles), modern conflict has shifted from conventional inter-State warfare to long-term, low-intensity wars within States. In many cases, the main combatants are not only national armies but local militia, paramilitary groups, even criminal gangs and terrorists. These types of conflicts permeate societies and are oblivious to circumscribed battlefields. Civilian casualties are thus extremely high.

Illicit trafficking in small arms is a major contributor to the excessive and destabilizing accumulation of weapons in that it provides an unregulated supply of arms to any State, organization or group that can afford to buy them. Trafficking in small arms is often linked to organized crime and to drug cartels which, as a result of their operations, can reduce state and individual security by undermining political and social stability.

Possible measures to combat illicit trafficking in and illicit circulation of small arms, including those suited to indigenous regional approaches

Any efforts to address the illicit trafficking in small arms must be comprehensive and address all aspects of the small arms issue, including legal transfers, illicit trafficking and peace-building.

The legal transfers element is crucial to reducing the illicit trafficking in small arms, because many illicitly trafficked weapons begin as part of legitimate transfers. By developing, promoting and implementing measures to bring about greater restraint, control and transparency in the legal transfer of small arms and light weapons, the international community would deny criminals a valuable source of weaponry and smugglers of lucrative contraband items.

Indigenous efforts to restrict legal transfers are being made to address the demand side of the small arms equation. Initiatives such as the ECOWAS-supported West African (Mali) Moratorium are designed to prevent the importation

of small arms into a region which is already awash in small arms and light weapons. Such initiatives should be fully supported, encouraged and enforced.

Addressing the illicit trafficking element of the small arms issue means tackling criminal elements directly. Canada's focus is on supporting practical measures to combat the significant illicit trade of small arms, which is frequently linked to international organized crime and drug traffickers. In November 1997 Canada signed the Inter-American Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and other Related Materials, which establishes a reciprocal system of import, export and transit authorizations for small arms, ammunition, explosives and other related material (e.g., firearms parts) to prevent exports of those goods taking place unless there is an import authorization. However, the key to preventing the illicit trafficking of small arms is improved and strengthened law and customs enforcement, especially through better international cooperation. The protocol on firearms to be attached to the draft convention against transnational organized crime (currently being negotiated) is an excellent example of progress being made on this track. Once established and enforced, increased law and customs standards will reduce the ability of criminals to traffic in small arms and light weapons.

The peace-building track is an important element of any solution to the issue of illicit trafficking in small arms, because it addresses the demand aspect of the problem. Although insecurity is often exacerbated by the excessive accumulation of small arms, the perceived need to wield weapons for personal security is symptomatic of deeper social, political and economic issues in which local actors have stakes and external actors have vested interests. Therefore, effort is required to reduce the demand for weapons if peaceful settlement of the conflict is to be sustainable.

Issues falling under this track are dealt with at the field level through local governing bodies and non-governmental organization/community organizations; at the subregional and regional levels (e.g., the enforcement of the ECOWAS-supported West African (Mali) Moratorium); in international forums such as the Brussels Conference on Sustainable Disarmament for a Sustainable Development (October 1998) and the Guatemala round table on ex-combatants' disarmament and demobilization (November 1998); and through organizations of the United Nations system focused on small arms or on the mandates and delivery of peace operations.

The role of the United Nations in collecting, collating, sharing and disseminating information on illicit trafficking in small arms

Currently, there is no standardized way to gather information on the legal transfer or illicit trafficking of small arms. However, monitoring illicit trafficking in small arms may best be served by improving the transparency of legal small arms transfers. Certainly legal transfers are much easier to trace, especially if incorporated into an international arms trade register. By comparison, illicit trafficking in small arms is, by its nature, difficult to monitor and is largely the responsibility of the law enforcement community. If an effective register of small arms transfers were established, illicit trafficking would be at least conspicuous by its absence from the register. Canada supports greater transparency in the conventional arms trade and, accordingly, would support ongoing efforts to determine ways and means to render the transfers of small arms and light weapons more transparent.

Colombia

Magnitude and scope of the phenomenon of illicit trafficking in small arms

The impact of the illicit traffic in arms is determined not so much by the types of weapons but by the repercussions of trafficking on the peace and security of the countries affected. Because of their easy availability and low cost, small arms comprise the bulk of this traffic, which supplies weapons for internal conflicts and for the so-called low-intensity wars as well as for a broad range of criminal activities. The phenomenon should not therefore be treated merely as a business from which greedy arms dealers profit. It involves a broad range of actors and constitutes one of the most complex problems which the international community faces.

The scale of the illicit traffic in firearms is not insignificant. The authorities of some countries contend that the cases of seizure of illegally transferred arms and the number of persons detained for this offence represent just a small fraction of the true volume of this traffic and that the current international system of trade in these weapons is now taking on the characteristics that distinguished the "trade in death" during the cold war, when the absence of governmental controls made it possible for arms traffickers to expand and have a significant impact on armed conflicts.

Arms-producing countries that are economically dependent on the military industry and have been forced to

reduce their defence expenditures are seeking to increase their exports of arms in order to prevent economic disruptions and to ensure in this sector the maintenance of employment levels, the functioning of production chains, the development of new weapons systems and a secure source of foreign exchange. Since Government-to-Government arms sales are not sufficient to compensate for the cost of production, except marginally, particularly since many importing countries have also reduced their defence budgets, contractors in the military industry and their marketing representatives are seeking new marketing opportunities abroad, and non-State clients represent a promising outlet for their excess capacity.

In the absence of international agreements to moderate and regulate the arms trade, Governments or their trade representatives countenance illicit trafficking through the direct or indirect sale of arms to groups or individuals that are not legally authorized to acquire them.

Possible measures to combat illicit trafficking in and illicit circulation of small arms, including those suited to indigenous regional approaches

More is known about the consequences of the illicit traffic in arms than about the constantly changing ways in which it operates. Nevertheless, some of the factors that make the traffic possible and that need to be addressed should be noted here, namely:

(a) The absence or ineffectiveness of legislation and State mechanisms for the control of the arms trade, which fosters a market in which non-State actors have access to various types of arms, including those intended for the exclusive use of military and police forces;

(b) Differences between laws, policies and technical systems in the field of arms control and arms transfers, which contribute to illicit trafficking;

(c) The possibility of procuring arms freely or with few restrictions in one country and then introducing them clandestinely into another where their sale is prohibited or controlled is the typical first step towards an illicit arms trade;

(d) The high profit margin that can be obtained, owing to the ease with which arms may be purchased at low prices in domestic markets and then resold at higher prices on the international black market, is one of the principal attractions for many arms traffickers, especially when an abundant supply of the goods trafficked is available in the source State and a significant demand exists in the receiving State;

(e) The illicit traffic makes available to the ordinary citizen a supply of various categories of arms, including those intended for the exclusive use of military forces;

(f) The illicit traffic permits access to firearms, ammunition and explosives by persons who do not meet the legal requirements for obtaining or carrying them in the receiving State;

(g) The illicit traffic in arms creates distrust between States and thus has an adverse impact on their relations;

(h) The illicit traffic in arms leads to arms proliferation, by imposing on States the need to acquire more arms to counter the consequences of the trade.

States Members of the United Nations should attach high priority to the elimination of the illicit arms trade and to cooperation at the international, regional and subregional levels aimed at harmonizing arms control legislation and administrative procedures and their enforcement mechanisms. At the same time, they should also consider the following, among other measures:

(a) Strengthening their national systems for the control and monitoring of the production and transfer of small arms;

(b) Ways and means of restricting the manufacture and acquisition of small arms over and above legitimate national security needs, taking into account the specific needs of each country or region;

(c) Modalities that would ensure greater openness and transparency in the production and transfer of small arms;

(d) Establishment of a body of national laws and/or regulations and administrative procedures to guarantee effective control of their arms and of the exportation and importation of small arms, so as to prevent them from reaching the hands of persons involved in the illicit trafficking of arms;

(e) Maintenance of a system of licensing for export, import and transit activities and for the issuance of the appropriate end-use/user certificates;

(f) Provision of an adequate number of suitably trained customs officers to control the exportation and importation of arms with a view to preventing illicit trafficking, particularly in border areas;

(g) Cooperation with other States in providing information on customs, trafficking and the seizure of illicit arms, and, where necessary, the coordination of intelligence work;

(h) Intensification of efforts to combat corruption and graft.

Many of these recommendations are contained in General Assembly resolution 46/36 H and in the guidelines adopted by the Disarmament Commission in 1996. The resolution and the guidelines have guided the international community's efforts in this field. In the Americas, the Inter-American Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials was adopted and various activities are being undertaken in other regions with the same aim.

The role of the United Nations in collecting, collating, sharing and disseminating information on illicit trafficking in small arms

Even though the issue of the adoption of measures to control the global arms trade has not been taken up for many years, States have begun to recognize that indiscriminate trade and illicit traffic in arms are a threat not only to the peace and security of some areas and regions but also to the security and well-being of their own citizens, and that these phenomena are dangerous components of world trade and a serious obstacle to efforts to achieve a solution to conflicts and to ensure a peaceful environment.

Moreover, States are now increasingly receptive to various proposals aimed at promoting initiatives to control indiscriminate transfers of small arms, reduce their excessive accumulation and coordinate policies to prevent their illicit circulation and trafficking. These goals have all been expressed in various General Assembly resolutions, ever since Colombia submitted a relevant draft resolution in 1988, which led to the adoption of resolution 43/75 I, the first resolution adopted on this topic in the history of the Organization.

Given the global scale of the phenomenon, no State or region is able to combat on its own the illicit traffic in arms. There is need for assistance from the international community, represented in the United Nations, to develop a joint strategy designed to neutralize the factors that affect the supply of arms on the international black market and the circumstances, both internal and external, that determine demand. To this end, it is necessary to negotiate a universally binding and non-discriminatory instrument that commits all States, arms manufacturers and arms dealers to effective arms control and to the implementation of the measures needed to prevent and finally eradicate the illicit traffic in arms.

In reply to a note from the Secretary-General concerning resolution 52/38 J, the Government of Colombia

expressed the view that the recommendation on the convening of a United Nations conference to seek global solutions to the problem of the illicit trade in small arms was the most important of the various recommendations contained in the report of the Secretary-General on small arms.

The Government of Colombia therefore welcomes the fact that, in recognition of the grave consequences which the illicit traffic in arms, and particularly the traffic in small arms, has for peace, security and development in many States Members of the United Nations, the General Assembly decided in resolution 53/77 E to convene the above-mentioned international conference no later than 2001.

In resolution 53/77 E the General Assembly stipulates that the conference in question should be on the theme of the "illicit arms trade in all its aspects" and that many aspects should be considered in the conference, including:

- (a) The ease of access to arms which are distributed and sold without proper regulations or restrictions;
- (b) The ready availability of arms which circulate freely in various countries and regions;
- (c) The weakness of the mechanisms used to ensure compliance with arms control regulations;
- (d) The absence of control over the production, distribution and sale of arms and military equipment;
- (e) The excessive production of small arms, which leads to their accumulation, proliferation and illicit trafficking;
- (f) Unsafe and overcrowded storage facilities;
- (g) Corruption at various levels;
- (h) Distribution of the domestic production of small arms;
- (i) Inadequate disposal of arms upon the conclusion of conflicts;
- (j) The inefficiency of border controls;
- (k) The inadequacy of regulations on carrying and possessing arms;
- (l) The weakness of import and export control mechanisms;
- (m) The proliferation of arms as a result exclusively of commercial and/or political considerations.

Owing to these and other aspects of the problem of the illicit traffic in small arms, it is necessary to adopt measures

to ensure greater transparency, oversight and control over the production and legal trade in these arms; to develop programmes for the collection and destruction of arms that are not necessary for legitimate defence; and to adopt measures aimed at reducing and preventing their proliferation and excessive accumulation.

Cuba

Cuba reiterates the positions stated last year in its response to General Assembly resolution 52/38 J, concerning small arms, as contained in document A/53/169/Add.4. There it stated, *inter alia*, that the problem of small arms and light weapons should be addressed in its proper perspective and in the context of the progress achieved towards general and complete disarmament. In this connection, nuclear disarmament is still the top priority with regard to disarmament questions, and mankind should therefore devote the greatest efforts to that goal.

In Cuba's opinion, now that the magnitude and the scope of the phenomenon of illicit trafficking in small arms are being addressed, it is essential to take duly into account the specific contexts in which the phenomenon occurs and the confluence of various technical, political, economic, social, ethnic and cultural factors in the accumulation of small arms beyond what is required to guarantee the national security of States.

Accordingly, the treatment of the issue and any initiatives adopted, even if they are within a multilaterally negotiated international framework, must respect the distinctive characteristics of each region or country affected.

Thus international cooperation is bound to play a key role in tackling the phenomenon of illicit trafficking in small arms, on the basis of initiatives negotiated at the bilateral, regional and multilateral levels and with due regard for the particular circumstances and environment of each country or region.

Likewise, Cuba firmly believes that only States have the judicial, legal and administrative capacity to tackle illicit trafficking in arms, and they have a vital role in controlling such arms, by constantly enhancing national legislation designed to combat the phenomenon.

In a complementary role, the United Nations should pursue its efforts, through its economic and social organs, to combat poverty and underdevelopment, factors which contribute to the destabilization of States, thereby rendering them incapable of controlling, *inter alia*, the accumulation

of small arms and light weapons, which has a knock-on effect on illicit trafficking.

The United Nations also has a crucial role in collecting, collating, sharing and disseminating information among its Member States on illicit trafficking in small arms, in accordance with its obligation to maintain international peace and security, as embodied in the Charter of the United Nations.

Cuba is committed to the view that, when the question is addressed at the bilateral, regional and multilateral levels, there must be respect for the inherent right of States to self-defence, individually or collectively, as embodied in Article 51 of the Charter of the United Nations, and accordingly respect for the legitimate right to acquire arms and other means necessary to defend and safeguard sovereignty and territorial integrity.

Likewise, Cuba considers that in international transfers of small arms, all States Members of the United Nations must duly take into account the guidelines for international arms transfers adopted by the Disarmament Commission in 1996 and published in document A/51/42.

In Cuba's opinion, the appropriate international forum to address in a comprehensive and effective manner the whole range of issues concerning illicit trafficking in all types of weapons, and particularly those issues referred to in subparagraphs (a), (b) and (c) of paragraph 1 of resolution 53/77 T, is precisely the international conference envisaged. In this connection, Cuba is prepared to play an active role both during the preparatory process and during the conference itself.

In our opinion, the main objective of such a conference should be the adoption of a political declaration and a joint programme of action to combat all aspects of illicit trafficking in weapons, including weapons of mass destruction and sophisticated conventional weapons.

Cuba stresses the importance of achieving total transparency and of promoting the broadest possible participation by Governments, both during the preparatory process and during the conference itself, in order to ensure the attainment of its objectives.

Cuba is flexible as to the timing of the conference, although we think that there should be sufficient time for preparations and that it should be held when there will be no scheduling conflicts with other important disarmament forums. Similarly, we are open to consideration of any proposal from Headquarters that has the approval of the majority of States Members of the United Nations.

Lastly, we should like to mention some measures that have been taken at the national level to combat the phenomenon of illicit trafficking in small arms:

(a) As reported last year in Cuba's reply to the Secretary-General concerning aforementioned resolution 52/38 J, Decree Law No. 52 on the control of firearms and the issuance of licences has been in effect in Cuba since 1982. Such licences are issued to those persons who meet the established requirements, in particular those dealing with crime. Moreover, the distribution of arms for the protection and security of State-owned economic entities is determined on the basis of the property being protected;

(b) On 17 June 1998, the Council of State of Cuba adopted Decree Law No. 186 on the system of security and physical protection. According to article 1, its purpose is to establish and regulate the system of security and physical protection and the services provided in that area. Section VII of the Decree Law lays down the following regulations governing the hand weapons and other weaponry of the security and protective services:

(i) Article 37: Internal security firms and companies are authorized to possess, use and store firearms and hand weapons intended for the provision of services, subject to the approval of the Ministry of the Interior and in accordance with the legal provisions and regulations in force.

Internal security firms and companies shall be responsible for measures to secure and control firearms and hand weapons intended for the provision of services.

(ii) Article 38: The firearms shall be used solely for the protection of the persons, objects and services intended. Unless the Ministry of the Interior duly approves, all types of transfer, relocation or use for unauthorized purposes shall be prohibited.

(c) More recently, on 16 February 1999, adoption of Act No. 87 amending the Penal Code has strengthened Cuban legislation governing, among many other issues, illicit trafficking in weapons;

(d) Article 11 of that Act amends articles 211 and 212 of the Penal Code, and imposes terms of imprisonment ranging from two to five years on any person who, without legal authorization, acquires, possesses or carries a firearm, and terms of imprisonment ranging from three to eight years on any person who manufactures, sells or in any way provides a firearm for the benefit of another person;

(e) Article 11 further imposes terms of imprisonment ranging from three to eight years, in the first instance, and

from four to ten years, in the second instance, if the firearm is of a type for which no licence is issued;

(f) Section II, article 346, of the Act refers to money-laundering and imposes terms of imprisonment ranging from five to 12 years on any person who acquires, converts or transfers resources, assets or rights thereto, or attempts to carry out such an operation, if that person knows or ought to have known or could rationally have deduced from the circumstances of the operation that it involved the direct or indirect proceeds of actions related to illicit trafficking in drugs, weapons or persons, or were connected to organized crime.

Finland (on behalf of the States Members of the United Nations that are members of the European Union)

The member States of the European Union (EU) co-sponsored the General Assembly resolution 53/77 T on illicit traffic in small arms, and wish to provide the following common reply to paragraph 1 of the resolution, which contains a request for the Secretary-General to hold broad-based consultations, within available financial resources and with any other assistance provided by member States in a position to do so, taking into account the ongoing work of the Group of Government Experts on Small Arms, with all Member States, interested regional and subregional organizations, international agencies, and experts in the three fields specified in the paragraph.

The political instability, human suffering, insecurity and social consequences caused by the destabilizing accumulation and spread of small arms and light weapons call for urgent international action. The EU attaches great importance to combating the problem at national, regional and international levels. The Programme for Preventing and Combating the Illicit Trafficking in Conventional Arms, adopted in July 1997, the Code of Conduct of Arms Exports, adopted on 8 June 1998, the EU Joint Action on combating the destabilizing accumulation and spread of small arms and light weapons, adopted on 17 December 1998 and the EU Development Council resolution on small arms and light weapons, adopted on 21 May 1999, provide the key instruments for EU participation in these regional and international efforts.

The EU Programme for Preventing and Combating the Illicit Trafficking in Conventional Arms entails a broad set of non-binding measures, promoting both cooperation among member States and EU assistance to third countries affected by illicit trafficking in conventional arms.

The EU Code of Conduct of Arms Exports is a major contribution to effective control of transfers of conventional arms, including small arms. The Code contains a detailed set of common criteria for arms exports, including respect for human rights, and establishes unprecedented operative provisions. It also creates a monitoring mechanism through an annual report by each EU country on arms exports. The first annual review of the Code will be issued in late 1999. The Code sets the commitment of each EU member State to use its best endeavours to encourage other arms-exporting States to subscribe to the principles of the Code.

The EU Joint Action on Small Arms, on combating the destabilizing accumulation and spread of small arms and light weapons provides a comprehensive framework for EU policy in the field of small arms. It enumerates a set of principles and measures on preventive and reactive aspects of the issue that the EU member States shall pursue in relevant international forums and in a regional context. The Joint Action also contains provisions of financial and technical assistance to relevant programmes and projects. Such projects might include weapons collection, security sector reform and demobilization and reintegration programmes as well as victim assistance. The EU already has decided to participate in the UNDP pilot project on the collection and destruction of weapons in Gramsh, Albania, and further projects are under preparation.

The Development Council resolution on small arms and light weapons recommends that, in the field of development cooperation, the Community and the EU member States devote particular attention to small arms aspects. The resolution reflects the relationship between human security and development efforts when addressing the small arms problem.

The EU has entered into dialogue on small arms with various regions, both in view of expanding political support for the key principles and measures that should be pursued through regional and incremental approaches and through global efforts and in view of EU contributions to specific actions on small arms.

The EU welcomes the successful conclusion of the work of the Group of Governmental Experts on Small Arms, established by the Secretary-General in accordance with resolution 52/38 J, the work already accomplished under the Panel of Governmental Experts on Small Arms, and the recommendations contained in the report of the Group. The EU shares the view of the Group of Government Experts on the major role of illicit trafficking of conventional arms in destabilizing societies and Governments, in encouraging

crime and fostering terrorism, in supporting drug trafficking and mercenary activity, and in the violation of human rights.

The EU welcomed the decision of the General Assembly in its resolution 53/77 E "to convene an international conference on the illicit arms trade in all its aspects no later than 2001". The EU considers that the conference should be the main focus of international efforts to deal with the problem. The EU wishes to refer to its common reply to General Assembly resolution 53/77 E which contains detailed views by the European Union on the conference. The EU emphasizes the importance of having a wide and comprehensive scope for the conference. The conference should deal with both preventive and reactive aspects of the problem and seek ways and means to tackle it. The EU welcomes the recommendations made by the two United Nations groups of governmental experts in this respect. The EU also supports the recommendation that the conference focus mainly on those weapons that are manufactured to military specifications.

The EU considers that the United Nations has a central role in international efforts to deal with the problem of illicit traffic in small arms. The EU emphasizes the importance of cooperation and coordination, both among the relevant intergovernmental bodies of the United Nations, and within the Secretariat, in particular with regard to the activities of the Centre for International Crime Prevention, the Department for Disarmament Affairs and the mechanism for coordinating action on small arms (CASA). The EU also wishes to underline the importance of efficient cooperation between the Department for Disarmament Affairs and UNDP which has wide responsibility in the implementation of action in this field. Moreover, it is important to ensure effective information sharing between United Nations headquarters and regional and subregional activities and organizations.

The EU is encouraged by the negotiations under way in Vienna under the auspices of the Commission on Crime Prevention and Criminal Justice on a draft protocol against the illicit manufacturing and trafficking in firearms, ammunitions and other related materials which is taking place in the context of the negotiations on the draft United Nations Convention against Transnational Organized Crime. The EU emphasizes the importance of the draft firearms protocol, which covers one essential aspect of the small arms problem, and hopes that these negotiations will be concluded expeditiously prior to the international conference on illicit arms trade. The firearms protocol aims at establishing adequate norms with regard to, *inter alia*, record-keeping, marking, requirements for export, import and transit

licensing or authorization systems as well as registration and licensing of arms brokers.

The EU supports increased transparency in international arms transfers, in particular through the submission of returns to the United Nations Register of Conventional Arms. The EU encourages all United Nations Member States to submit their national data to the Register in full and on time.

The EU stresses the need for effective control measures on the transfer of conventional weapons and encourages States to enact adequate national legislation and/or regulations and administrative procedures for effective control over arms with the aim of preventing illicit trafficking. In the case of legal transfers under the responsibility and control of States, there exist a number of measures that help ensure that such transfers do not lead to excessive and destabilizing accumulations of conventional weapons, in particular small arms. The absence of adequate national systems of control on arms production, exports and imports and of effective border and customs control aggravates the problem of illicit trafficking. So does inconsistency between national legislative and enforcement measures relating to possession of arms and the import and export of arms. The EU is of the view that stronger regulations and international coordination and cooperation are called for. In this context, consideration should be given to finding ways to establish effective norms for better control of small arms and their transfers, such as adequate requirements for marking, transparency and licensing of brokering.

There are numerous initiatives under way that can contribute to solving the problem of trade in illicit arms. In May 1996 the Disarmament Commission adopted "Guidelines for international arms transfers", the first effort to approach the problem in a comprehensive manner. It encouraged further international initiatives. The EU also welcomes the adoption by the Disarmament Commission in April of this year of guidelines on conventional arms control/limitation and disarmament, with particular emphasis on consolidation of peace. The Brussels Conference on Sustainable Disarmament for Sustainable Development, held in October 1998, calls for an International Programme of Action on Practical Disarmament and Peacebuilding to, *inter alia*, integrate measures to combat illicit arms trafficking in all its aspects (the Brussels Call for Action). The EU welcomes the entry into force of the Inter-American Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials which serves as a basis for the draft

firearms protocol supplementary to the draft convention against transnational organized crime. The EU reaffirms its support for the moratorium on the importation, exportation and manufacture of light weapons by ECOWAS member States. In southern Africa, the Institute for Security Studies and SafeWorld held in May 1998 a conference on developing controls on arms and illicit trafficking which adopted a regional action programme on small arms and light weapons and illicit arms trafficking. The EU/SADC Ministerial Conference, held in Vienna in November 1998, endorsed the conclusions of the conference and the follow-up action. The International Criminal Police Organization (Interpol) is actively pursuing its efforts in the fight against the criminal use of firearms. The EU also underlines the contribution of the non-governmental organizations community to efforts to deal with the small arms problem.

Bearing in mind Security Council resolution 1209 (1998) on the situation in Africa, illicit arms flows to and in Africa, and recalling the EU Code of Conduct on Arms Exports and the EU Joint Action on Small Arms, the Presidency of the EU issued a declaration on 18 June 1999 on behalf of the EU on the arms trade to and within the Great Lakes region. In the declaration the EU expresses its concern over arms flows to the region and its commitment to conflict resolution and peace-keeping efforts, underlining that in the search for a long-term solution to conflicts, high priority should be given to measures which curb arms supplies, their illicit circulation and the illicit trafficking which finances them. The EU stresses the importance of comprehensive reports on arms trafficking in conflict areas, such as the report on arms trafficking to and within Rwanda. The EU considers that, in the light of the current security situation, it would be useful to prepare a new report on the arms trafficking situation in the Horn of Africa.

The EU will actively pursue international efforts to stop the human suffering caused by the destabilizing accumulation and spread of small arms and light weapons, including illicit trafficking in small arms. The EU underlines that all Governments should commit themselves to policies consistent with the goal of achieving a sustainable solution to the problem and take effective and practical steps to that end.

Kyrgyzstan

1. A study of the activities of Kyrgyzstan's internal affairs organs showed that a certain segment of the population is in possession of a considerable quantity of

small arms. There are a number of reasons for this phenomenon, in particular:

- (a) Small arms entering Kyrgyzstan from hot spots in countries of the Commonwealth of Independent States (Tajikistan, northern Caucasus);
- (b) Recent upsurge in the activities of armed religious extremist groups;
- (c) Theft of weapons in military units;
- (d) Internal affairs organs have insufficient strength and lack adequate means of monitoring the possession of small arms by the population.

2. The large number of small arms in Kyrgyzstan makes them easily accessible to many criminals and also to individual citizens.

In 1998 and the first four months of 1999, Kyrgyzstan's investigatory bodies instituted 495 criminal proceedings involving illegal possession or theft of small arms, ammunition and explosives; 91 (40 in 1999) crimes involving their use were suppressed. A significant number of such crimes took place in Bishkek and Chu regions (24.1 per cent and 43.9 per cent, respectively, of the total number of crimes of this kind committed).

During the period from 1997 to 1999, 2,194 small arms of various types were confiscated in Kyrgyzstan, including:

- In 1997: 983, of which 100 were rifle-barrelled weapons;
- In 1998: 1,018, of which 118 were rifle-barrelled weapons;
- In 1999: 292, of which 22 were rifle-barrelled weapons.

Of the total number of weapons confiscated, 28.1 per cent came from Issyk-Kul region, 26.4 per cent from the city of Bishkek, and 26.7 per cent from Osh and Djalal-Abad regions.

3. Units of internal affairs organs are currently making efforts to combat illicit traffic in small arms. In accordance with the provisions of the Inter-State Programme of Joint Measures to Combat Organized Crime and Other Dangerous Crimes in the Territory of the Countries Members of the Commonwealth of Independent States to the Year 2000, the Ministry of Internal Affairs of Kyrgyzstan, together with other countries members of the Commonwealth, took measures to suppress the illicit manufacturing of and trafficking in arms and explosives.

The measures taken point to numerous problems in Kyrgyzstan with regard to the storage, transport and inventory of, and trade and illicit traffic in small arms.

4. There is urgent need for a computerized collection of information on the sale and confiscation of small arms and ammunition. Unfortunately, the inventories kept by criminal investigatory bodies ("bullet-and-shell files") do not meet current needs. Antiquated methods are used to process the information contained in the inventories, which makes it difficult to uncover crimes. In this regard, it is essential that Kyrgyzstan develop and implement an experimental project on the creation of an automated data-search system including (computers equipped with the relevant programmes for expert criminal-investigation services; training of personnel). The United Nations could provide assistance in mobilizing the financial resources required.

5. With a view to prohibiting illicit traffic in small arms and the ammunition for them, all States should adopt a law on weapons that would create a system for monitoring arms in its territory and establish rules concerning the production, sale, acquisition, repair, inventory, storage, bearing, import, export and use of arms.

6. Deliveries of small arms and their ammunition should be strictly monitored by Governments in accordance with inter-State and intergovernmental agreements and treaties. There should also be an established procedure requiring Governments to report such deliveries to the appropriate international organizations.

7. The role of the United Nations in collecting, collating, sharing and disseminating information on illicit traffic in small arms should be to inform interested States, with a view to ensuring the security of the region; and to take appropriate action against States that violate agreements and treaties at various levels.

Singapore

1. The magnitude and scope of illicit trafficking in small arms has reached dangerous proportions in certain regions of the world. Singapore is fortunate not to be thus afflicted. However, we recognize the humanitarian consequences that result from the problem of illicit trafficking in small arms in afflicted regions and believe that the international community should focus its efforts on reducing the problem in afflicted regions.

2. To combat the illicit trafficking in and illicit circulation of small arms, individual countries ought to adopt responsible export policies, such as exporting small arms

only to governmental agencies. Within a country, there should be strict laws to prevent the proliferation of small arms in society. For example, there should be effective legal and administrative controls governing licensing and possession of small arms; those should be accompanied by detailed and reliable national records on small arms transfers and national holdings. Further, national stocks of small arms should be kept in a safe and secure manner, and there should be responsible policies on the disposal of surplus arms. Such measures should take into account the special needs and societal conditions of each afflicted country.

3. The United Nations ought to be the focal point for the international community's efforts in dealing with the small arms problem. It should play a central role in collecting, collating, sharing and disseminating information on illicit trafficking in small arms. By so doing, the United Nations will have a comprehensive view of the small arms problem and be in the best position to coordinate the efforts of member States in tackling the problem.

South Africa

It is the view of South Africa that the purpose of General Assembly resolution 53/77 T, entitled "Illicit traffic in small arms", is to authorize the Secretary-General to hold broad-based consultations not only with Member States but also with interested regional and subregional organizations, international agencies, and experts in the field and, taking into account the reports by the Group of Governmental Experts on Small Arms and the Group of Experts on ammunition and explosives, to provide Member States with a global picture of the magnitude and scope of illicit trafficking in small arms.

In order to avoid unnecessary duplication and the waste of valuable resources, it is important to coordinate national, regional and international initiatives focusing on the proliferation of small arms and light weapons. In that the United Nations plays a central role.

The results of the Secretary-General's broad-based consultations will assist Member States to make a decision at the fifty-fourth session of the General Assembly on the objectives and scope of an international conference on illicit trade in small arms in all its aspects and to decide what more should be done to address the problem.

The Secretary-General's consultations should focus on all possible national, regional and international measures to combat illicit trafficking in and circulation of small arms, including those suited to indigenous regional approaches,

and should provide an assessment of the role of the United Nations in collecting, collating, sharing and disseminating information on illicit trafficking in small arms — for example, on the establishment of a database on illicit trafficking in small arms.

Broad-based consultations

The mechanism for conducting the consultations should not be limited to requests from the Department for Disarmament Affairs for Member States to provide their views; it should also be based on the participation of the Department in regional and subregional initiatives.

Given the mandate provided in the resolution, consultations should also be held with regional/subregional groups and organizations which take interest in or have taken action on or are likely to get involved with matters pertaining to illicit arms traffic. To that end, the Secretary-General could consult with groups and organizations such as the European Union, through its Joint Action on Small Arms; the Organization of American States, through its Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and other Related Materials; the Organization of African Unity (OAU); the Southern African Development Community (SADC); the Economic Community of West African States (ECOWAS) and the Association of Southeast Asian Nations (ASEAN).

Consultations should also be held with research institutes, specialized groups and non-governmental organizations in the field of small arms and light weapons.

Consultations should be held with specialized agencies such as INTERPOL (Lyon); the Southern African Regional Police Chiefs Coordinating Committee; the Centre for International Crime Prevention, within the framework of the Commission on Crime Prevention and Criminal Justice; and the World Bank.

Magnitude and scope of illicit trafficking in small arms in South Africa

The South African Government's general position on the proliferation of small arms and light weapons has been circulated as document A/53/169/Add.3, in pursuance of resolution 52/38 J, in which Member States were requested to submit views on the Secretary-General's report on small arms and on the steps taken to implement the recommendations contained therein, and in particular, to provide views concerning the convening of an international conference on illicit trade of small arms in all its aspects.

Small arms proliferation in South Africa falls into two different groups — namely, illegal or illicit small arms, and legal arms. Both contribute to the problems associated with the proliferation of such weapons.

Legal arms

The main cause of the proliferation of legal small arms in South Africa is the level of violent crime, resulting in people purchasing arms for self-defence. Currently there are some 4.2 million arms registered in some 2.3 million persons' names. Of these 1.2 million are rifles; 0.4 million, shotguns; and 2.6 million, handguns. Applications for licences to possess firearms are received at an average rate of 18,000 per month. Since 1994 licences were issued for the following number of civilian small arms (firearms): 1994: 236,602; 1995: 242,241; 1996: 200,832; 1997: 200,913.

Arms in legal possession are being stolen at a rate of approximately 20,000 per year. From 1 April 1993 until 28 February 1998 the total number of small arms (firearms) stolen was 89,963, and 7,556 were lost. Since 1995 the figures are: 1995: 15,644 stolen and 1,079 lost; 1996: 18,591 stolen and 1,569 lost; 1997: 26,215 stolen and 4,260 lost. The recovery rate of these arms was 10,947 in 1995, 13,640 in 1996, and 8,120 in 1997.

Illegal arms

The flow of illegal arms into South Africa occurs mainly across its borders with neighbouring States. However, it is believed that, as a source for the criminal element in South Africa, the neighbouring States are not as important as private individuals, from whom arms are stolen.

The South African Police Service seized the following number of firearms from 1993-1997:

1993: 9,700	(1,386 assault rifles)
1994: 11,647	(1,589 assault rifles)
1995: 16,291	(1,392 assault rifles)
1996: 18,154	(1,169 assault rifles)
1997: 15,221	(803 assault rifles)

In 1997 24,588 murders were committed in South Africa, of which 11,186 were committed with firearms.

National and regional measures to combat illicit trafficking in and illicit circulation of small arms and light weapons

National measures

The South African Government has declared that combatting the proliferation of small arms (firearms) is the South African Police Service's (SAPS) highest priority. A coherent strategy for dealing with the proliferation of small

arms has been developed. It is an integral and holistic approach for introducing stricter control measures and eventually removing the causal factors of proliferation so as to stop the inflow of illegal arms; preventing arms in legal possession from becoming illegal, through theft and robbery; mopping up the existing pool of arms and educating South Africans in the possession of arms. A national firearms plan is being implemented in terms of the strategy, with the objective of reducing the number of illegal small arms in circulation and reducing the flow of illegal weapons into South Africa. It also attempts to ensure the lawful and proper use of licensed firearms and encourages legislative amendments aimed at tightening up the issuance of licences and reducing the losses from legal owners.

In addition, South Africa is committed to a policy of responsibility and accountability in the trade and transfer of all arms. South Africa has established an arms control system that includes a ministerial control body (National Conventional Arms Control Committee) plus criteria, principles and guidelines to ensure the responsible transfer of and trade in, *inter alia*, small arms and light weapons.

The South African Government has adopted a policy on the destruction of surplus small arms. The policy stems from the Government's grave concern about the proliferation of small arms and its devastating effect on socio-economic development and the reconstruction of civil societies in southern Africa. In accordance with the policy, the South African Police Service on 6 October 1997 melted down 20 tons of firearms (4,504 confiscated firearms) which included pistols, revolvers, rifles, shotguns and home-made firearms with an estimated commercial value in excess of 2 million rand (US\$ 330,000). Subsequently the South African Police Service destroyed an additional 11 tons of confiscated ammunition and 10 tons of confiscated small arms, nine tons of obsolete/outdated ammunition and 20 tons of redundant/obsolete small arms.

In February 1999 the South African Government decided to dispose of all State-held redundant, obsolete, unserviceable and confiscated semi-automatic weapons of a calibre smaller than 12.7 mm, by destroying them. This decision was taken in accordance with the Secretary-General's report on small arms (A/54/298, of 27 August 1997), which recommended that all States should consider destroying surplus small arms.

When the destruction takes place, it will be public, and media representatives will be invited. It is estimated that by the end of 1999, South Africa will have destroyed 262,667 of the redundant, obsolete, unserviceable and confiscated small arms of various calibres currently stored by the

Department of Defence. The arms that will be destroyed will include 7.62 mm R1, R2 and M1 rifles of assorted configurations, Bren light machine guns, Vickers machine guns, and Uzzi submachine guns.

The South African Police Service is also taking concrete action to address the problem of illicit trafficking in small arms. It includes training and briefing members of the Border Police and Dog Units; preparing a new curriculum for a course in illegal firearms investigations; training members to etch serial numbers on firearms; and initiatives to ensure that the issuing of export permits are centralized by the Central Firearms Register.

In addition, SAPS has taken and will continue to take steps to address the problem regionally, through trilateral meetings with Swaziland and Mozambique in order to exchange information and come up with joint initiatives; joint monitoring operations with Swaziland and Mozambique, concentrating on the border posts and border areas; and the training of Mozambique policemen and parks border officials.

SAPS has established a specialized unit to address the illegal possession of firearms and explosives; illegal importing and distribution of firearms and explosives; illegal domestic manufacturing of firearms and explosives; illegal export of firearms and explosives; illegal use of firearms and explosives; dealing in firearms and explosives; and the origin of illegal firearms and explosive devices.

Subregional measures

Since the South African Government is committed to stopping the flow of illegal small arms across South Africa's borders, it has already entered into agreements with several southern African States with a view to curbing the trafficking. Bilateral agreements have been signed with Mozambique and Swaziland to address cross-border crime. These agreements provide for joint investigations and the exchange of information between the respective police forces. Several joint operations have been conducted between the three countries at both the grass-roots and national levels. Approximately 60 successful ad hoc ground-level joint operations have been concluded between Mozambique and South Africa alone.

The bilateral agreement with Mozambique has led to the first joint operation for the destruction of uncontrolled arms/explosives caches in Mozambique, known as Operation Rachel. Since 1995, the South African Government has funded four official Rachel operations in which approximately 450 tons of arms and ammunition were destroyed. Since Mozambique is a vast country stretching

up the east coast of Africa, with many uncontrolled weapons caches, it is foreseen that several more operations will be carried out in the future. This obviously depends on availability of information, the situation on the ground and funds for future projects.

Regional initiatives

As was the case with international efforts to ban landmines, which ultimately led to the adoption and entry into force of the Mine Ban Treaty, a strong and decisive position by the Organization for African Unity (OAU) is crucial to the success of any international initiative to address the problems associated with the proliferation of small arms and light weapons. For this reason, the 1998 meeting of OAU Heads of Government, acting on a South African proposal, adopted a decision concerning the proliferation of small arms and light weapons in Africa. The decision reiterated the urgency and the need for inter-African cooperation in the search for solutions to the problems posed by the proliferation and stressed the primary role that the OAU should play in the coordination of relevant efforts. It also urged the OAU Secretary-General to gather from member States the fullest possible information on the scope of the proliferation and steps taken to deal with it. In preparation for the 1999 OAU Summit, which will be held in Algeria, South Africa considers it important for the OAU to endorse the convening in 2000 of a continental conference of African experts on small arms. The objective of the conference should be to discuss the problem of small arms and light weapons in Africa and make recommendations on actions to be taken.

South Africa welcomes the initiative taken by the Department for Disarmament Affairs to organize a workshop on illicit traffic in small arms, under the auspices of the United Nations Regional Centre for Peace and Disarmament in Africa and will actively participate in it.

Role of the United Nations in collecting, collating, sharing and disseminating information on illicit trafficking in small arms

Although the Secretary-General designated the Department for Disarmament Affairs as a focal point to coordinate all action on small arms within the United Nations system, other United Nations departments and agencies should continue to play an active role in addressing the problem within their areas of specialization. Increased cooperation and coordination are important, and South Africa therefore welcomes the establishment of the Coordinating Action on Small Arms (CASA) as a coordinating mechanism and encourages its ongoing

initiatives related to illicit trafficking in small arms. Relevant United Nations bodies, departments and specialized agencies involved in addressing illicit trafficking in small arms should include:

(a) Security Council — the impact of illicit trafficking in small arms on international peace and security and methods to address this problem, especially in post-conflict situations;

(b) General Assembly, First Committee — a number of resolutions address the issue. At its fifty-fourth session, the General Assembly will make a final decision on an international conference on the illicit trade in small arms in all its aspects;

(c) Disarmament Commission — the "Guidelines on conventional arms control/limitation and disarmament", adopted at the 1999 session;

(d) Department for Disarmament Affairs, United Nations Secretariat — coordination of all action on small arms, provision of specialist support, development of a database on illicit trafficking in small arms;

(e) Department for Peacekeeping Operations, United Nations Secretariat — demilitarization, disarmament, integration of former combatants;

(f) United Nations Development Programme — effect of illicit trafficking in small arms on the socio-economic development of developing countries;

(g) United Nations Children's Fund — effect of illicit trafficking in small arms on women and children, especially in developing countries;

(h) Centre for International Crime Prevention, within the Commission on Crime Prevention and Criminal Justice — efforts to elaborate an international convention against transnational crime, including a protocol to combat the illicit manufacture of and trafficking in firearms.

Through an integrated and coordinated approach, the United Nations Secretariat could collect, collate, share and disseminate information to member States on illicit trafficking in small arms by, *inter alia*:

(a) Establishing a database on illicit trafficking in small arms;

(b) Identifying areas of heavy geographical concentration of weapons supplied during periods of war;

(c) Identifying known "weapons supply lines" and modalities of illicit arms trafficking;

(d) Maintaining a publicly available register on the legal trade in small and light weapons;

(e) Providing technical and financial expertise, if so required, for the conversion or destruction of surplus stocks of weapons;

(f) Coordinating the expertise needed to collect and destroy arms collected as a result of United Nations peacekeeping operations;

(g) Providing technical expertise and advisory assistance in the elaboration of subregional and regional registers by appropriate subregional and regional organizations;

(h) Identifying international arms merchants and their activities;

(i) Publishing lists of authorized arms trading companies;

(j) Developing an international standard for the marking of weapons and ammunition;

(k) Developing an international standard for end-user certificates;

(l) Publishing information on violations of end-user certificate provisions, including names of companies, countries and individuals involved in unauthorized retransfer of weapons to third parties.

Uruguay

The resolution introduced by South Africa during the fifty-third session of the General Assembly prepared the ground for a thorough discussion of national, regional and international measures to combat illicit trafficking in and circulation of small arms.

Uruguay will evaluate and address the possibility of establishing global consultations not only among member States but also with regional organizations, such as the Organization of American States, the Rio Group and MERCOSUR, international agencies and experts in the field, including the Group of Government Experts on Small Arms and the Group of Experts on ammunition and explosives.

The United Nations has a pivotal role to play in coordinating measures and initiatives at the national, regional and international level.

It is necessary that organs other than the Department for Disarmament Affairs should take part in these efforts. Other organs and agencies could be of invaluable support. The General Assembly, as well as the Security Council, the Department of Peacekeeping Operations, UNICEF and the Commission on Crime Prevention and Criminal Justice should be encouraged to participate.

Establishing a database to record illicit traffic in small arms (as exists in OAS regarding terrorism) would be a healthy measure.

The Government of Uruguay is deeply concerned over the link between illicit traffic in small arms and narco-traffic. The Government has encouraged the adoption of the Alliance for a Uruguay Free of Drugs, in the hope of reducing violence and civil delinquency, leading to a decrease in the acquisition and possession of small arms and illicit traffic in them.

The destruction by Governments of surplus small arms is essential for combating traffic in small arms.

An effective customs authority is crucial for maintaining an accurate survey of arms that transcend national boundaries. This must be established through adequate training and technical support, in order to avoid illicit traffic.

A better use of scarce resources calls for active coordination on the part of the international community, and Uruguay warmly supports the Initiative to convene an international conference on small arms during the year 2001. It should address this important issue in all its aspects.

Annex II

Questionnaire prepared by the Department for Disarmament Affairs for the United Nations regional workshops in Lima, Peru, and Lomé, Togo

Note: The following questions are intended to serve as general guidelines. Member States are encouraged to provide additional information

1. How would you assess the magnitude and scope of the phenomenon of illicit trafficking in small arms?
 - Estimates of the number and types of weapons in circulation.
 - Original sources of procurement.
 - National regulations for the ownership of private weapons.
 - National arrangements for control of transboundary traffic in contraband goods (e.g., guns, drugs, precious stones).
 - Linkages between crime, violence and illicit arms traffic.
 - Areas which have become conduits for illicit arms transfers.
 - Information available about illicit arms transfers in violation of arms embargoes, national regulations, or bilateral or other arrangements for controlling of transboundary movement in contraband goods.
2. In your estimation, what are possible measures for combating illicit trafficking in and illicit circulation of small arms — including measures suited to indigenous regional approaches — and how can they be implemented?
 - Moratoria on the importation, exportation and manufacture of small arms and light weapons (such as the ECOWAS moratorium).
 - Local and national destruction of all surplus small arms.
 - Establishment of national, subregional and regional registers of small arms.
 - Training and technical support for customs officials, border police and other authorities responsible for controlling arms transactions.
 - Measures against mercenaries/private security companies.
 - Measures to control arms brokers and shipping agents.
 - Measures to register air cargo companies and certify their shipments.
 - Submission of flight plans of arms transport firms.
 - Legislation against the use of false end-user certificates, shipping documents, cargo manifests and flight plans as a crime under national law.
 - Other measures.
3. In your view, what is the role of the United Nations in collecting, collating, sharing and disseminating information on illicit trafficking in small arms?
 - Identify areas of heavy geographical concentration of weapons supplied during the cold war.
 - Identify known "weapons pipelines" and modalities of illicit arms trafficking.

- Maintain a publicly available register on small arms and light weapons.
 - Provide technical and financial expertise for the conversion or destruction of surplus stocks of weapons.
 - Provide technical expertise and advisory assistance in the elaboration of subregional and regional registers by appropriate subregional and regional organizations.
 - Publicly identify international arms merchants and their activities.
 - Publish lists of authorized arms trading companies.
 - Develop an international standard for the marking of weapons and ammunition.
 - Develop an international standard for an end-user certificate which cannot be forged.
 - Publish information on violations of end-user certificate provisions, including names of companies, countries and individuals involved in unauthorized retransfer of weapons to third parties.
 - Other measures.
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Advancement of women

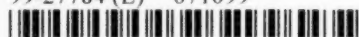
Human resources management

Improvement of the status of women in the Secretariat

Report of the Secretary-General

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Abbreviations

DDA	Department for Disarmament Affairs
DESA	Department of Economic and Social Affairs
DM	Department of Management
DM/OCSS	Department of Management/Office of Central Support Services
DM/OHRM	Department of Management/Office of Human Resources Management
DM/OPPBA	Department of Management/Office of Programme Planning, Budget and Accounts
DGAACS	Department of General Assembly Affairs and Conference Services
DPA	Department of Political Affairs
DPI	Department of Public Information
DPKO	Department of Peacekeeping Operations
DPKO/FALD*	Department of Peacekeeping Operations/Field Administration and Logistics Division
ECA	Economic Commission for Africa
ECE	Economic Commission for Europe
ECLAC	Economic Commission for Latin America and the Pacific
ESCAP	Economic Commission for Asia and the Pacific
ESCWA	Economic and Social Commission for Western Asia
INTERORG	Interorganizational bodies
	Joint Inspection Unit
	Consultative Committee on Administrative Questions
	International Computing Centre
	Information Systems Coordination Committee
OCHA	Office for the Coordination of Humanitarian Affairs
ODCCP	Office of Drug Control and Crime Prevention
OHCHR	Office of the High Commissioner for Human Rights
OIOS	Office of Internal Oversight Services
OLA	Office of Legal Affairs
OSG	Office of the Secretary-General
OSRSGCAC	Office of the Special Representative of the Secretary-General for Children and Armed Conflict
REGCOM	Regional Commissions Liaison Office
UNCC	United Nations Compensation Commission
UNCHS	United Nations Centre for Human Settlements (Habitat)

* All staff with appointments of one year or more assigned to peacekeeping and other special missions.

UNCTAD	United Nations Conference on Trade and Development
UNEP	United Nations Environment Programme
UNFIP	United Nations Fund for International Partnerships
UNJSPF	United Nations Joint Staff Pension Fund
UNOG	United Nations Office at Geneva
UNOIP	United Nations Office of the Iraq Programme
UNON	United Nations Office at Nairobi
UNOV	United Nations Office at Vienna
UNSCOM	United Nations Special Commission established by the Security Council pursuant to Security Council resolution 687 (1991)

I. Introduction

1. In its resolution 53/119 of 9 December 1998 on improvement of the status of women in the Secretariat, the General Assembly requested the Secretary-General to report on the implementation of the resolution, including by providing statistics on the number and percentage of women in all organizational units and at all levels throughout the United Nations system, to the Commission on the Status of Women at its forty-third session and to the General Assembly at its fifty-fourth session. In the same resolution, the General Assembly reaffirmed the goal of 50/50 gender distribution by 2000 in all categories of posts within the United Nations system, especially at the D-1 level and above, with full respect for the principle of equitable geographical distribution, in conformity with Article 101 of the Charter of the United Nations, and also taking into account the continuing lack of representation or underrepresentation of women from certain countries, in particular from developing countries and countries with economies in transition.

2. The Assembly welcomed the ongoing personal commitment of the Secretary-General to meeting the goal of gender equality and his assurance that gender balance would be given the highest priority in his continuing efforts to bring about a new management culture in the Organization, which would include full implementation of the special measures for women outlined in his report to the General Assembly (A/53/376). The General Assembly also requested the Secretary-General to ensure that heads of departments and offices developed gender action plans that established concrete strategies for the achievement of gender balance in individual departments and offices, so as to ensure, as far as possible, that the appointment and promotion of women would not be less than 50 per cent until the goal of 50/50 gender distribution was met.

3. The General Assembly, in section X of its resolution 53/221 of 7 April 1999, noted with concern the imbalance in the representation of women from different regions, and requested the Secretary-General to take appropriate remedial action when pursuing the goal of 50/50 gender distribution. The Assembly also noted that the rate of progress in improving the representation of women from developing countries, particularly at the senior level, had been very slow, and urged the Secretary-General to make greater efforts to redress the situation in accordance with Article 101, paragraph 3, of the Charter of the United Nations, and to report thereon to the Assembly at its fifty-fifth session. The General Assembly decided that the objective of 50/50 gender distribution by 2000 should be pursued in compliance

with the provisions of Articles 8 and 101 of the Charter and staff regulation 4.3 in order to ensure equal opportunities for qualified women and men in recruitment and promotion.

4. The General Assembly first formally recognized the importance of the status of women in the Organization by the adoption of resolution 2715 (XXV) of 15 December 1970 on the issue. In the resolution, the General Assembly urged the United Nations and its system of organizations to take appropriate measures to ensure equal opportunities for the employment of qualified women in senior and other professional positions, and expressed the hope that the United Nations system would set an example in that regard. Although the earliest request for a report on the nature of posts encumbered by women in the Secretariat was made by the Commission on the Status of Women in April 1949, statistics on the gender distribution of staff in the Professional and higher categories were reported for the first time to the General Assembly at its twenty-sixth session in 1971 (A/8483). Of the total of 2,250 Professional and higher level staff on geographical appointments in 1971, only 382 (16.9 per cent) were women. Over the following three decades, additional resolutions on the status of women in the Organization were adopted by various intergovernmental bodies and four world conferences on women.

5. Since 1970, significant progress has been made in improving conditions of service for women, through the elimination of provisions from the Staff Rules which discriminated between staff members on the basis of gender; issuance of Secretary-General's bulletins setting out the policies of the Organization on the equal treatment of men and women; modification of terminology to include gender neutral and bias free language in official documents; introduction of gender-sensitivity training; development of guidelines for addressing sexual harassment; introduction of a family leave programme; and the institution of special measures governing the recruitment, placement and promotion of women. While improvements in the organizational climate are less easy to gauge, attitudinal change has taken place, thereby improving the working environment for all staff, men and women. This change is evident in the notable increase of women in senior and decision-making posts, including the second highest post in the Organization, the regular inclusion of women in advisory boards and committees, and the presence of women in occupational areas where, historically, they were unrepresented. Over this period, the face of the Organization has changed: the presence of women in highly sensitive, technical and visible positions, such as directors of divisions, chiefs of information centres, and heads of peacekeeping missions, is no longer controversial. Equally significant, the

different perspectives that women bring to the substantive work and management of the Organization are increasingly recognized and valued.

6. While visible progress has been made in improving the representation of women at the senior and policy-making levels, progress in improving women's representation overall in the Professional and higher categories has been slow. Although the goal of 50/50 gender distribution has been very useful in keeping up the momentum, the target will not be met by 2000. The report on the composition of the Secretariat (A/54/279) projects that gender balance will not be achieved in the Professional and higher categories before 2012. Although low staff turnover, recruitment freezes and the downsizing of the Organization have had a major impact on its ability to meet the goals set by the General Assembly, other factors include the lack of specific targets for improving women's representation in individual departments and offices, the generally lower number of women applicants for posts, and the absence of effective tools for monitoring managers' performance in meeting gender equality goals. These issues are presently being addressed within the framework of the action plans on human resources management jointly developed by the Office of Human Resources Management and the heads of departments and offices.

7. The present report is submitted to the General Assembly pursuant to its request in resolution 53/119. Following the introduction, the report is divided into three sections. Section II contains an overview of the representation of women in the United Nations Secretariat; section III reviews developments since the submission of the last report of the Secretary-General to the General Assembly; and section IV presents conclusions and strategies for improving the representation of women in the Secretariat in the year ahead.

II. Overview of current status

A. Gender distribution of staff at the Professional and higher levels in the Secretariat

8. The gender distribution of all staff in the Professional and higher categories with appointments of one year or more is provided in table 1. The table includes staff on appointments subject to geographical distribution, staff with special language requirements and staff on appointments limited to service with a particular office, mission, fund or

programme. The latter two groups of staff are not subject to the system of desirable ranges used as a guideline for estimating the comparative representation of the nationals of each Member State. The gender distribution of Professional and higher-level staff in the smaller population of staff on geographical appointments is provided in table 2. Further information on the composition of the staff is contained in the above-mentioned annual report of the Secretary-General on the composition of the Secretariat.

9. Since 30 June 1998, the increase in the percentage of women on appointments subject to geographical distribution has been small, rising from 36.9 to 38.1 per cent. Table 3 shows that there were 919 women out of a total of 2,410 staff on geographical appointments as of 30 June 1999, compared to 885 women out of a total of 2,400 staff on geographical appointments on 30 June 1998. The increase in women's representation from June 1998 to June 1999, while not remarkable, is consistent with the 1 per cent annual rate at which women's representation has increased since 1989. Despite this trend, considerable progress has been made in improving women's representation at the P-5 level and above, as illustrated in table 5 and the accompanying graph. At the D-1 level, for example, the number of women on appointments subject to geographical distribution increased from 15 in June 1989 to 71 in June 1999, an increase of 27.9 percentage points. Since 30 June 1998, the percentage of women on appointments subject to geographical distribution at the D-1 level and above has increased from 25.2 to 29.1 per cent.

10. In the larger population of staff on appointments of one year or more, the number of women increased from 1,441 in June 1998 to 1,542 on 30 June 1999. Table 4 shows that the percentage of women with appointments of one year or more was 35.8 per cent as at 30 June 1999, compared to 34.6 per cent as at 30 June 1998. The largest percentage increase in the representation of women with appointments of one year or more has been at the D-1 level. The number of women at that level increased from 65 in June 1998 to 76 in June 1999, corresponding to an increase in women's representation at the D-1 level from 23.7 to 28.1 per cent. During this period, the percentage of women at the D-1 level and above on appointments of one year or more increased from 21.2 to 24.4 per cent.

11. The goal of 50/50 gender distribution has nearly been met at the P-2 level. Since June 1998, the percentage of women at that level has increased from 45.4 to 48.2 per cent. The percentage increase in women's representation at the P-3 to P-5 levels, however, has been very small, ranging from 0.1 per cent at the P-3 level to 1.4 per cent at the P-4 level. Compared to June 1998, the largest number of women

continue to be found at the P-3 level, whereas the highest concentration of men is at the P-4 level.

12. The gender composition of staff with appointments of one year or more by department and office is provided in table 1. Since the submission of the last report of the Secretary-General to the General Assembly on the improvement of the status of women, the goal of gender balance has been met in one additional office with 20 or more personnel (the Department of Management).¹ The Office of Human Resources Management continues to surpass the goal of 50/50 gender distribution. Women's representation in the Department of Public Information, however, has declined from 51.2 to 49.8 per cent. Although a critical mass of women has been achieved in the majority of departments and offices, women in the following nine departments or offices² still account for less than 30 per cent of all staff: the Department of Management/Office of Central Support Services, the Department of Peacekeeping Operations, the Economic Commission for Africa, the Economic Commission for Europe, the Economic and Social Commission for Asia and the Pacific, the Economic and Social Commission for Western Asia (ESCWA), the United Nations Conference on Trade and Development, the United Nations Environment Programme (UNEP) and the United Nations Office of the Iraq Programme. The only office to have reached the goal of gender balance in the staffing of posts at the D-1 level and above is the Department of Management/Office of Human Resources Management. Of those departments and offices with more than 20 staff at the senior and policy-making levels, the departments which have achieved a critical mass of women at those levels, as of 30 June 1999, are the Department of Political Affairs (40 per cent), the Department of Economic and Social Affairs (30 per cent) and the Department of Public Information (34.8 per cent). UNEP, which has 34 staff at the D-1 level and above, has the lowest representation of women (4) at those levels (11.8 per cent).

13. In resolution 53/221, the General Assembly requested the Secretary-General to discontinue the established practice of showing the representation of staff according to major geographical groupings and to list countries in alphabetical order. Information on the representation of Member States in the staff of the Secretariat by nationality, grade and gender is provided in the report of the Secretary-General on the composition of the Secretariat.

14. With respect to the gender distribution of staff with special language requirements, the percentage of women increased from 37.0 per cent (318 staff) in June 1998 to 38.1 per cent (322 staff) in June 1999. While the net increase in the number of women on language posts is marginal,

women's representation at the P-5 level increased from 35.8 to 40.2 per cent (53 women, compared to 79 men).

15. As of 30 June 1999, the percentage of women on project posts was 28.2 (214 female staff), as compared to 26.6 per cent (195 female staff) in June 1998. While the number of women at the L-2 level (116 women) exceeds 50 per cent (54.2 per cent), the representation of women at the higher levels is significantly lower. Women at the L-4 level account for only 13.7 per cent (16 women) of the staff at that level (117 staff). At the L-5 level, the percentage of women is only 8.7 per cent (16 women out of a total of 183 staff).

B. Appointments and promotions of staff in the Professional and higher categories in the Secretariat

16. Table 6 and the accompanying graph show the number of women and men appointed during the past two years at the P-1 to the Under-Secretary-General levels, including through the national competitive and language examinations. Table 7 and the accompanying graph show the number of women and men promoted during the past two years at the P-1 through the Under-Secretary-General level, including through the competitive examination for promotion to the Professional category of staff members from other categories (G to P).

17. Since June 1998, 25 of the 47 staff members (53.2 per cent) recruited through the national competitive examinations and 11 of the 18 staff members recruited through the language examinations (61.1 per cent) were women. During the same period, 8 women (61.5 per cent) and 5 men were promoted from the General Service category to the P-2 level through the G to P examination.

18. There was a marginal increase in the percentage of women appointed during the period from 1 July 1998 to 30 June 1999 (40.1 per cent), compared to the previous year (39.3 per cent), as shown in table 6. This is 10 percentage points lower than the goal of 50 per cent requested by the General Assembly at its fifty-third session (see para. 2 above). The decline in the percentage of women appointed at the P-3 and P-4 levels is attributable to the large number of men recruited at those levels in the Department of Peacekeeping Operations, following the establishment in the 1998-1999 support account budget of 48 additional Professional and higher-level posts to replace gratis personnel (see A/53/847). Since June 1998, 18 of the 21 staff members recruited at the P-3 level for that department were

men. At the P-4 level, of the 18 staff members appointed to the department during the period under review, 17 were men. This higher number is owing, in large part, to the fact that 18 of the 48 posts approved by the General Assembly were filled by the recruitment of active military or civilian police officers on secondment from government service. When the appointments of staff at the P-3 and P-4 levels in the department are excluded from the total number of appointments made in the Professional and higher categories during the period from 1 July 1998 to 30 June 1999, the percentage of women appointed shows a significant increase from 40.1 to 45.1 per cent.

19. The percentage of women promoted during the period from 1 July 1998 to 30 June 1999 was 45.5 per cent, compared to 42.8 per cent the previous year. While the overall percentage of women promoted falls short of the goal of 50 per cent, there has been a notable increase in the number and percentage of women promoted to the P-5 level. As indicated in table 7, a total of 35 women (43.2 per cent) were promoted to the P-5 level during the period from 1 July 1998 to 30 June 1999, compared to 17 women (29.3 per cent) in the preceding year. In addition, at the D-1 level, the promotion rate for women surpassed 50 per cent (53.8 per cent). Although the appointment rate for women at the D-2 level has exceeded 50 per cent in the last two years, the decline in the already low percentage of women promoted to the D-2 level from 28.6 to zero per cent during the period under review is cause for concern. The Secretary-General will therefore request heads of departments and offices to pay special attention to the career prospects of women at the D-1 level when considering candidates for vacant D-2 positions.

20. With respect to interdepartmental movement of staff, 21 (53.8 per cent) of the 39 cases of lateral transfer of staff reviewed by the appointment and promotion bodies were women. Of the 316 promotion cases reviewed by the appointment and promotion bodies, 33 (10.4 per cent) entailed the transfer of staff between departments and offices, while the remaining 283 cases involved the promotion of staff within departments. Women accounted for 15 (45.5 per cent) of the 33 promotion cases requiring the movement of staff between departments and offices. Of the 72 cases involving the movement of staff between departments, 44 entailed a change of duty station. Of these, 21 cases pertained to women (47.7 per cent). These data suggest that, while the mobility of staff, both women and men, across departments and offices in the Secretariat is low, women are just as willing to move as men when deciding to seek career advancement or new assignments. In order to address the issue of low mobility of staff, priority has been

assigned, in the reform of the human resources management system, to establishing means to achieve greater mobility of staff across functions, occupations, departments, duty stations and organizations of the United Nations system (see A/53/414). The introduction of the managed reassignment programme for entry-level Professional staff, currently under development by the Office of Human Resources Management, will provide this critical category of staff with greater opportunities to develop and broaden their skills, thereby improving their morale and optimizing their contribution to the United Nations. By providing new challenges, the programme will also discourage the early separation of junior Professionals from the Organization.

C. Women in the General Service and related categories, including such issues as the G to P examination and staff development opportunities

21. The majority of staff in the General Service and related categories are women (4,375 women, as compared to 3,954 men). However, while women comprise 54.9 per cent of the General Service category, women are under-represented in both the Security and the Trades and Crafts categories, where they account for 5.8 per cent (12 women out of 206 staff) and 3.6 per cent of staff (7 women out of 192 staff), respectively. In the Field Service category, women account for 12.3 per cent (103 women out of 835 staff).

22. There is a notable lack of mobility of General Service staff between departments, similar to staff in the Professional category. Out of a total of 149 promotion cases at the GS-5 to GS-7 levels reviewed by the Appointment and Promotion Panel at Headquarters during the period from 1 July 1998 to 30 June 1999, only 8 entailed the movement of staff between departments and offices.

23. As regards the promotion of staff in the General Service and related categories to the Professional level through examinations, the General Assembly, in resolution 53/221, requested the Secretary-General to complete the realignment of those examinations with the national competitive examinations, in particular regarding academic qualifications and equitable geographical distribution, as well as equal treatment with regard to probationary appointments. The Secretary-General has decided to take the matter back to the General Assembly at its fifty-fourth session in order to inform the Assembly of the concerns of management and staff on the issue and, in particular, of the fact that implementation of the General Assembly's request would deny some General Service staff any opportunity for

promotion to the Professional category by reason of their nationality. The introduction of the requirement of equitable geographical distribution in determining a staff member's eligibility to sit the G to P examination would further limit the few opportunities for staff in the General Service and related categories, the majority of whom are women, to be promoted to the Professional category.

24. The Secretary-General is committed to the establishment of an organizational culture in which professional excellence, productivity and achievement are recognized and rewarded in all categories and at all levels. In 1998, staff development and learning programmes were strengthened and refocused to facilitate the process of reform of the management of the Organization and to enable staff to meet the changing needs of the United Nations. To improve staff development opportunities for General Service staff, a number of new programmes have been introduced, including a General Service Development Programme, supervisory skills for General Service staff who supervise others and collaborative negotiation skills. In addition, Career Support Programmes are being offered to educate staff members about the work of individual departments and the skills required of those who work in those areas, and to teach career planning skills. As noted in paragraphs 20 and 22 above, there is a need to improve the mobility of all staff across functions and offices of the Secretariat. This is particularly true of staff in the General Service category, many of whom have university degrees, but whose career prospects are limited by the very small number of posts allocated each year to the G to P examination. The career development and morale of these staff can be greatly enhanced by assignments to different areas of work and different departments, including assignment to peacekeeping missions. Moreover, the Organization needs to channel more creatively the skills and experiences of the many staff in the General Service and related categories who have had the opportunity to demonstrate their suitability for professional assignments while serving in peacekeeping missions.

D. Gender distribution of staff at the Professional and higher levels in organizations of the United Nations system

25. In order to meet the request of the General Assembly contained in resolution 53/119, statistics on the gender distribution of staff at the Professional and higher levels in all organizations of the United Nations common system, as at 31 December 1997, are provided in the annex. The

statistics were derived from the tables issued annually by the secretariat of the Consultative Committee on Administrative Questions. Since 31 December 1996, the percentage of women with appointments of one year or more at Headquarters and other established offices of the United Nations system of organizations has risen from 30.8 to 31.8 per cent. Among organizations with 100 or more staff, the United Nations Population Fund continues to have the highest representation of women (47.8 per cent), followed by the United Nations Children's Fund (46.9 per cent). A recent booklet issued by the International Civil Service Commission containing data for the United Nations system, as of 31 December 1996, points out that over 61 per cent of women in the Professional category in the common system work in programme support functions: administrative, language and library-related fields (excluding the United Nations, the Office of the United Nations High Commissioner for Refugees, the United Nations Relief and Works Agency for Palestine Refugees in the Near East, and the International Trade Centre, for which occupational data was unavailable).³

III. Developments since September 1998

A. Steering Committee for the Improvement of the Status of Women in the Secretariat

26. The Secretary-General, to reaffirm the importance of the principle of gender equality and of the improvement of the status of women in the Secretariat, issued revised terms of reference of the Steering Committee for the Improvement of the Status of Women in the Secretariat in June 1999 (see Secretary-General's bulletin ST/SGB/1999/9). The Steering Committee, which is composed of 12 senior staff members and chaired by the Special Adviser on Gender Issues and Advancement of Women, has, *inter alia*, the following functions: to initiate and review proposals for policies and concrete measures for the achievement of the goal of gender balance; to initiate and review proposals for the institution of a more gender-sensitive work environment supportive of the needs of the staff, both women and men; to monitor implementation of the special measures for the achievement of gender balance, including the compliance of those accountable in the Organization with existing policies and guidelines; to monitor the development and implementation of action plans by heads of departments to achieve the goal of gender balance in individual departments and offices; and to review the impact of proposed reforms in human resources management policies and practices with a view to ensuring

that the goal of gender equality is fully taken into account. The Committee has met and is drawing up its programme of work.

B. Development of action plans to achieve gender balance in departments and offices

27. The Secretary-General, in his report to the Commission on the Status of Women at its forty-third session, indicated that, during 1999, priority would be given to the development and implementation of action plans for the improvement of gender balance in individual departments and offices. The objectives of these plans would be to identify the opportunities and limits for achieving gender balance in individual departments and to put in place strategies to ensure that there is a pool of qualified women candidates for specific vacancies. The institution of these plans would also provide the Secretary-General with a tool for measuring the performance of individual departments and offices and for ensuring the accountability of individual managers.

28. The Special Adviser on Gender Issues and Advancement of Women will continue to hold discussions with departments and offices on the development of gender action plans. In so doing, she will build upon the series of meetings with heads of departments and offices initiated in January 1999 by the Assistant Secretary-General for Human Resources Management, with the objective of developing, for each department and office, action plans on human resources management. Those plans are based on a review of staffing projections for the 1999-2001 period and cover, *inter alia*, the filling of vacancies, taking into account the career prospects of staff and the Organization's goals of improving both geographical representation and gender balance in staff composition. Other aspects of human resources management addressed in the plans include career development, staff development and training, staff mobility, performance management and staff-management relations.

29. To identify the staffing profile and opportunities for improving women's representation in individual departments, the Office of the Special Adviser is currently reviewing the action plans agreed upon by the Office of Human Resources Management and respective heads of departments and offices. On the basis of that assessment, the Secretary-General will request heads of departments and offices to set specific targets for meeting the goal of gender balance in their offices. The Secretary-General will also request heads of departments and offices to undertake a review of the adequacy of the pool of women candidates for

projected vacancies within their departments, as well as to identify sources of women candidates from other departments in the Secretariat, other organizations of the United Nations system and external national and professional organizations. In the identification of external recruitment sources, heads of departments and offices will be requested, in particular, to identify sources of women candidates from developing countries and countries with economies in transition.

C. Representation of women in peacekeeping operations

30. The Special Committee on Peacekeeping Operations took up the subject of gender balance and gender mainstreaming in peacekeeping operations in March 1999. In her presentation to the Committee, the Special Adviser on Gender Issues and Advancement of Women observed that the integration of women's interests and experiences in conflict prevention, peacekeeping and post-conflict reconstruction was essential to the peace-building process. A critical mass of women in all components of peacekeeping operations, particularly at the decision-making levels, would broaden perspectives and bring a new dynamic to the peace-building process. As of 1 January 1999, two women headed peacekeeping missions. Strengthening the pool of qualified women candidates from all regions for posts in peacekeeping, including leadership positions, should be a priority. In its report (A/54/87), the Special Committee expressed its support for the development and implementation of innovative strategies for increasing the participation of women, on a broad geographical basis, in all aspects of peacekeeping operations. In June 1999, the Under-Secretary-General for Peacekeeping Operations and the Special Adviser wrote jointly to all Permanent Representatives to request the cooperation and support of Member States in improving women's representation in all areas of peacekeeping operations, *inter alia*, by proposing more women candidates for vacant positions within the Department of Peacekeeping Operations and for assignment to peacekeeping missions, including to military and civilian police positions.

31. The Special Adviser on Gender Issues and Advancement of Women and the Focal Point for Women have regularly briefed delegations on the programme to advance the status of women in the Secretariat and requested the assistance of Member States in identifying women candidates, in particular from developing countries and those which are under-represented in the Secretariat. During the

year under review, special briefings on recruitment for regular and peacekeeping posts were also organized for members of the African group and the Caribbean Community (CARICOM).

D. Gender mainstreaming and gender sensitivity training

32. Gender issues are increasingly incorporated into staff development programmes, such as people management and supervisory skills. Specific training programmes on gender mainstreaming and gender issues in the workplace are also being organized on a departmental basis. Each programme is tailored to meet the special needs of individual departments and is developed in collaboration with department heads and focus groups of staff.

33. In April 1999, a pilot gender sensitivity training seminar was organized for senior managers at the United Nations Office at Vienna. Subsequently, training sessions were organized for staff in the Professional and General Service categories. The Department of Peacekeeping Operations, with the assistance of the Office of Human Resources Management, has prepared a training programme on gender mainstreaming and gender sensitivity to be offered to all staff of the department in the last quarter of 1999. The programme will build upon the lessons learned from the gender mainstreaming training conducted in 1998 in the Department of Political Affairs. ESCWA will launch a training programme on gender mainstreaming and gender issues in the workplace in the last quarter of 1999. The Department of Economic and Social Affairs is planning a training programme in gender mainstreaming for all its Professional category staff early in 2000. The Department for Disarmament Affairs has also included gender training in its staff development programme for 2000. The Special Adviser and staff of the Division for the Advancement of Women briefed staff members of the Office for the Coordination of Humanitarian Affairs at an orientation session on gender issues organized by the latter office in July 1999.

E. Network of senior women staff members

34. The Special Adviser on Gender Issues and Advancement of Women established an informal network of women at the D-2 level at Headquarters in December 1998. Following the meeting between the Special Adviser and senior women staff members in Geneva in spring 1999,

the Deputy Executive Secretary of the Economic Commission for Europe organized a parallel network of women at the D-1 and D-2 levels at that duty station. The meetings of the two groups provide a forum for senior women to share their experiences as managers within the Organization and to exchange ideas on steps that can be taken to mentor junior women colleagues and to improve career development opportunities and working conditions for all staff.

F. Work/family agenda

35. In resolution 53/119, the General Assembly requested the Secretary-General to continue his work to create a gender-sensitive work environment supportive of the needs of his staff, both women and men, including through the development of policies for flexible working time, flexible workplace arrangements, child-care and elder-care needs. Those issues are currently being examined by the Quality of Work/Life Committee, which is chaired by the Office of Human Resources Management and includes the participation of representatives of the United Nations Development Programme, UNICEF and the Office of the Special Adviser. Priority issues which have been identified by the Committee for review include spouse employment, flexible work arrangements, child care and domestic partnerships.

36. Spouse employment was among the major issues discussed at the annual meeting in June 1999 of ORIGIN, a network of senior human resource management and gender specialists within and outside the United Nations system. Although organizations have recognized for many years that measures must be introduced to attract and retain staff members in dual-career households, legal and other obstacles remain to be tackled. These include negotiating arrangements for spouse employment with a number of host countries and providing more comprehensive information to candidates and new recruits on applicable visa and work permit regulations, child-care arrangements and employment opportunities. The members of ORIGIN agreed that the network would share country information on these issues and on job opportunities.

37. In response to a number of cases, the Secretary-General, in March 1999, decided that the United Nations would voluntarily deduct the amounts owed from the salaries of staff members found to be in default of court-ordered family support payments and pay them to the spouse and/or children.

38. The Office of the Special Adviser continues to provide advice and assistance to women staff members on contractual and career development issues and matters pertaining to the workplace. The matters brought to the attention of the Special Adviser include appointments and promotions under the special measures for women; transfers between duty stations for family reasons; and harassment in the workplace.

IV. Conclusions

39. Since the submission of the last report of the Secretary-General to the General Assembly on the improvement of the status of women in the Secretariat, notable progress has been made in improving the representation of women at the D-1 level. However, the progress in improving the representation of women overall is still limited, owing to the lower rate at which women are recruited into the Secretariat and the relatively small number of appointments made each year compared to the size of the staff population. While the majority of staff appointed at the P-2 level are women, women continue to account for less than 50 per cent of the appointments made at the remaining grade levels, with the exception of the D-2 level.

40. In view of the limited progress made in improving women's representation in the Secretariat, the Secretary-General decided in 1998 to develop departmental action plans to supplement the strategic plan of action for the improvement of the status of women in the Secretariat (1995-2000) (A/49/587). The decision to develop plans at the level of individual departments and offices was made, in view of the importance of managerial commitment and accountability to the achievement of the gender equality goals of the Organization. Although a number of strategies had been pursued successfully under the strategic plan, in particular, efforts to develop and implement gender mainstreaming and gender sensitivity training, it became clear with the passing of time that additional concrete strategies requiring the active participation and visible commitment of managers were required.

41. As indicated in section III of the present report, work has begun on the development of action plans on human resources management for individual departments and offices. One of the objectives set jointly by the Office of Human Resources Management and heads of departments and offices in those plans relates to improving gender balance. The performance of departments under the plans will be monitored by the Office of Human Resources Management and, with respect to gender, by the Office of

the Special Adviser on Gender Issues and Advancement of Women. It is intended that specific targets will be established for improving gender balance in individual departments and offices. An assessment will also be made of the adequacy of the pool of women candidates for projected vacancies within individual departments and across departments by occupation. Reports on progress made in meeting the goals set out in the plans will be submitted to the Secretary-General. The Secretary-General has also decided to institute quarterly reviews by the Senior Management Group of progress made in meeting gender equality goals in departments of the Secretariat and in United Nations funds and programmes.

42. The establishment and monitoring of targets for the improvement of women's representation in individual departments and offices is one component of the Secretary-General's strategy for the achievement of gender balance in the Secretariat. Other elements that will be pursued in the coming year include the review of the pool of women candidates within the Secretariat for projected vacancies by departments and occupations and the identification of external sources of women candidates, particularly in Member States which are unrepresented or under-represented in the Secretariat, in developing countries and in countries with economies in transition and in occupations in which women are presently under-represented. Attention will also be paid to the further development of policies and practices to support the reconciliation of staff members' work and family responsibilities with the aim of attracting and retaining the best qualified staff and enhancing their morale and productivity.

43. Moreover, the framework for action must include the following elements if the goal of gender equality is to be achieved and sustained in the early years of the next century:

(a) The Office of Human Resources Management must lend effective support to programme managers through the design of innovative recruitment strategies to identify and attract women candidates, particularly those from under-represented and developing countries and countries with economies in transition;

(b) The Office of Human Resources Management and the Office of the Special Adviser on Gender Issues and Advancement of Women must continue to monitor closely the implementation of the special measures for women and the progress made by departments in meeting the goal of gender balance, including through the development of mechanisms to effectively encourage, monitor and assess the performance of programme managers in meeting targets for

improving women's representation as referenced in *Notes* paragraph 41 above;

(c) Women candidates, both internal and external, must be encouraged to submit applications for posts for which they are qualified, and women staff members must take the lead in improving their career prospects by broadening their skills and experience;

(d) Member States should be apprised of forthcoming vacancies and encouraged to nominate qualified women for those positions, as well as for appointment to intergovernmental, judicial and expert bodies, such as the International Court of Justice, the Joint Inspection Unit, the International Tribunals and the International Civil Service Commission. Member States should also be encouraged to identify and propose national recruitment sources which will assist the Secretary-General in identifying suitable women candidates for posts with the Organization.

44. As noted in the introduction to the present report, significant progress has been made in improving the status of women in the Secretariat since the item was first addressed by the General Assembly in 1970. Milestones include the elimination of provisions discriminatory to women from the Staff Rules; the establishment of policies governing the equal treatment of men and women in the Secretariat; the introduction of gender sensitivity and gender mainstreaming training; and the institution of special measures governing the recruitment, placement and promotion of women. While, clearly, much work remains to be done to ensure the full and equal participation of men and women in all activities of the United Nations, the contribution of women to the effective design, management and implementation of the Organization's programmes is recognized. This recognition is owing, in large part, to the growing number of women in decision-making positions who serve as powerful catalysts for changing the manner in which individual men and women perceive women's roles and opportunities in the Organization.

45. The challenge for the early years of the new century will be to build upon this foundation by ensuring that women participate fully at all levels and in all programmes and activities of the United Nations. This will require the continued commitment and leadership of senior management. Managers at all levels must redouble their efforts to achieve the goals of gender equality, including through full implementation of the special measures for women and achievement of targets for improving gender balance in individual departments and offices.

¹ Including the Office of the Under-Secretary-General, the Contributions Service, the Treasury, the Management Policy Office, the Oversight Support Unit, the Executive Office, the Secretariat of the Fifth Committee and the Committee for Programme and Coordination and the Secretariat of the Joint Appeals Board and the Joint Disciplinary Committee. Excluding the Office of Programme Planning, Budget and Accounts, the Office of Central Support Services, and the Office of Human Resources Management.

² Excluding the Field Administration and Logistics Division of the Department of Peacekeeping Operations, which includes all staff with appointments of one year or more assigned to peacekeeping and other special missions.

³ "Gender balance in the United Nations Common System", International Civil Service Commission, December 1998, p. 3.

TABLE 1
GENDER DISTRIBUTION OF STAFF IN THE UNITED NATIONS SECRETARIAT
BY DEPARTMENT OR OFFICE AND GRADE
ALL STAFF IN THE PROFESSIONAL AND HIGHER CATEGORIES
(AS OF 30 JUNE 1999)

Department/ Office	USG		ASG		D-2		D-1		P-5		P-4		P-3		P-2		P-1		Total		GRAND TOTAL	Percentage Women
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F		
unflp																			1	3	4	75.0%
dm/ohrm																			32	43	75	57.3%
dm	1																		15	17	32	53.1%
osrsgcac	1																		3	3	6	50.0%
dpi	1																		122	121	243	49.8%
dm/oppha																			53	47	100	47.0%
interorg																			9	7	16	43.8%
ohchr	1																		49	38	87	43.7%
unjspf																			22	17	39	43.6%
ola	1																		44	34	78	43.6%
ocha	1																		34	26	60	43.3%
desa	1																		146	111	257	43.2%
osg	3	1	1	1	2	3	5	2	3	2	3	2	3	4	2	1			22	16	38	42.1%
dgaacs	1																		323	229	552	41.5%
dda	1																		15	10	25	40.0%
dpa	2																		62	39	101	38.6%
uncc	1																		67	40	107	37.4%
oios	1																		43	24	67	35.8%
unog	1																		208	114	322	35.4%
unon																			45	23	68	33.8%
regcom																			2	1	3	33.3%
unscm																			4	2	6	33.3%
srsrg	2																		2	1	3	33.3%
odccp	1																		74	37	111	33.3%
unov																			68	33	101	32.7%
eclac	1																		100	48	148	32.4%
unchs																			31	14	45	31.1%
dpko	1	2																	104	44	148	29.7%
unep	1																		154	65	219	29.7%
escap	1																		98	41	139	29.5%
escwa																			56	23	79	29.1%
dm/ocss	1																		82	33	115	28.7%
ece	1																		73	28	101	27.7%
unolip	1																		16	6	22	27.3%
unctad	1																		137	50	187	26.7%
dpkofaid	2	1	8																330	116	446	26.0%
eca	1																		116	38	154	24.7%
Total	29	3	24	4	69	19	194	76	495	212	894	454	777	508	278	259	2	7	2762	1542	4304	35.8%

TABLE 2
GENDER DISTRIBUTION OF STAFF IN THE UNITED NATIONS SECRETARIAT
BY DEPARTMENT OR OFFICE AND BY GRADE
PROFESSIONAL AND HIGHER LEVEL STAFF SUBJECT TO GEOGRAPHICAL DISTRIBUTION
AS OF 30 JUNE 1999

Department/ Office	USG		ASG		D-2		D-1		P-5		P-4		P-3		P-2		P-1		Total		Grand Total	% of Women
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F		
unscm	1																		0	1	1	100.0 %
unolp																			2	4	6	66.7 %
dm/ohrm																			31	42	73	57.5 %
dm	1																		13	16	29	55.2 %
unfip																			1	1	2	50.0 %
dpi	1																		1	1	2	50.0 %
unispf																			120	119	239	49.8 %
dm/oppba																			16	15	31	48.4 %
dgaacs	1																		48	43	91	47.3 %
interorg																			29	25	54	46.3 %
desa	1																		5	4	9	44.4 %
dpko	1																		144	111	255	43.5 %
ohchr																			43	33	76	43.4 %
unos	1																		46	35	81	43.2 %
ocha	1																		55	41	96	42.7 %
osg	1																		26	19	45	42.2 %
unep	1																		18	13	31	41.9 %
dpa	1																		10	7	17	41.2 %
ola	1																		54	37	91	40.7 %
dda																			43	29	72	40.3 %
odccp	1																		15	10	25	40.0 %
oios	1																		39	21	60	35.0 %
regcom																			32	17	49	34.7 %
unchs																			2	1	3	33.3 %
unov																			22	11	33	33.3 %
eclac	1																		27	13	40	32.5 %
escap	1																		93	44	137	32.1 %
escwa	1																		82	36	118	30.5 %
unon																			51	22	73	30.1 %
dm/ocss																			10	4	14	28.6 %
eca	1																		70	27	97	27.8 %
ece	1																		105	37	142	26.1 %
unctad	1																		71	25	96	26.0 %
dpkofaid																			135	47	182	25.8 %
oersgac																			28	9	37	24.3 %
uncc																			2	0	2	0.0 %
Total	21	2	14	3	53	16	136	71	310	143	440	254	346	275	171	155			1491	919	2410	38.1 %

Table 3
Comparison of the gender distribution of Professional and higher-level staff on appointments subject to geographical distribution, as of 30 June 1998 and 30 June 1999

Level	30 June 1998			30 June 1999		
	Men	Women	Percentage of women	Men	Women	Percentage of women
USG	22	2	8.3	21	2	8.7
ASG	12	3	20.0	14	3	17.6
D-2	51	14	21.5	53	16	23.2
D-1	149	60	28.7	136	71	34.3
P-5	305	139	31.3	310	143	31.6
P-4	435	241	35.7	440	254	36.6
P-3	348	253	42.1	346	275	44.3
P-2	193	173	47.3	171	155	47.5
P-1	—	—	—	—	—	—
Total	1 515	885	36.9	1 491	919	38.1

Table 4
Comparison of the gender distribution of Professional and higher-level staff with appointments of one year or more, as of 30 June 1998 and 30 June 1999

Level	30 June 1998			30 June 1999		
	Men	Women	Percentage of women	Men	Women	Percentage of women
USG	24	3	11.1	29	3	9.4
ASG	20	3	13.0	24	4	14.3
D-2	78	18	18.8	69	19	21.6
D-1	209	65	23.7	194	76	28.1
P-5	483	200	29.3	495	212	30.0
P-4	868	414	32.3	894	454	33.7
P-3	737	480	39.4	777	508	39.5
P-2	299	249	45.4	278	259	48.2
P-1	5	9	64.3	2	7	77.8
Total	2 723	1 441	34.6	2 762	1 542	35.8

Source: Human Resources Management and Management Information System Service, Office of Human Resources Management.

Table 5

Comparison of the number and percentage of women at the Professional and higher levels with appointments subject to geographical distribution, as at 30 June 1989 and 30 June 1999

Level	30 June 1989		30 June 1999	
	Number	Percentage of women	Number	Percentage of women
USG	2	8.3	2	8.7
ASG	—	—	3	17.6
D-2	7	8.2	16	23.2
D-1	15	6.4	71	34.3
P-5	64	13.5	143	31.6
P-4	170	24.5	254	36.6
P-3	263	40.3	275	44.3
P-2	141	44.9	155	47.5
P-1	17	58.6	—	—
Total	679	26.9	919	38.1

Sources: A/C 5/44/17 and the Human Resources Management and Management Information System Service.

Percentage of women

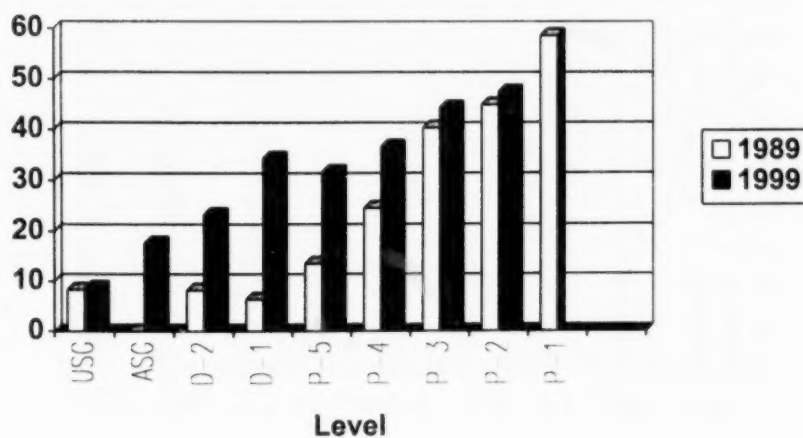


Table 6
Gender distribution of Professional and higher-level staff appointed to the United Nations Secretariat between 1 July 1997 and 30 June 1999

Level	From 1 July 1997 to 30 June 1998			From 1 July 1998 to 30 June 1999		
	Men	Women	Percentage of women	Men	Women	Percentage of women
USG	7	2	22.2	1	—	—
ASG	2	1	33.3	1	—	—
D-2	2	5	71.4	4	5	55.6
D-1	10	2	16.7	8	3	27.3
P-5	14	5	26.3	15	7	31.8
P-4	37	15	28.8	48	17	26.2
P-3a	46	33	41.8	60	28	31.8
P-2a	46	42	47.7	27	49	64.5
P-1	—	1	100	—	1	100
Total	164	106	39.3	164	110	40.1

Source: The Human Resources Management and Management Information System Service.

^a Figures at the P-2 and P-3 levels include staff recruited through the national competitive examinations and language examinations.

Percentage of women

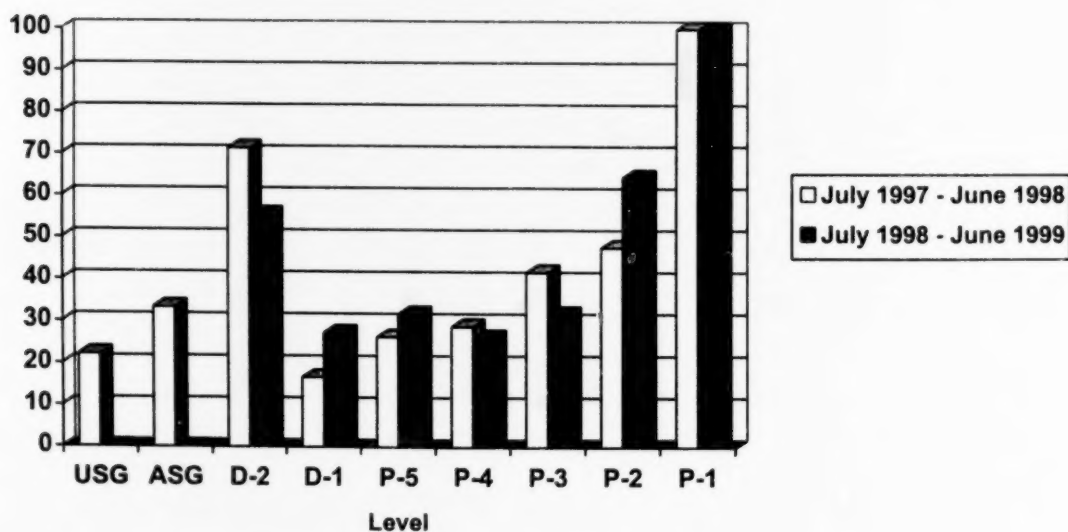


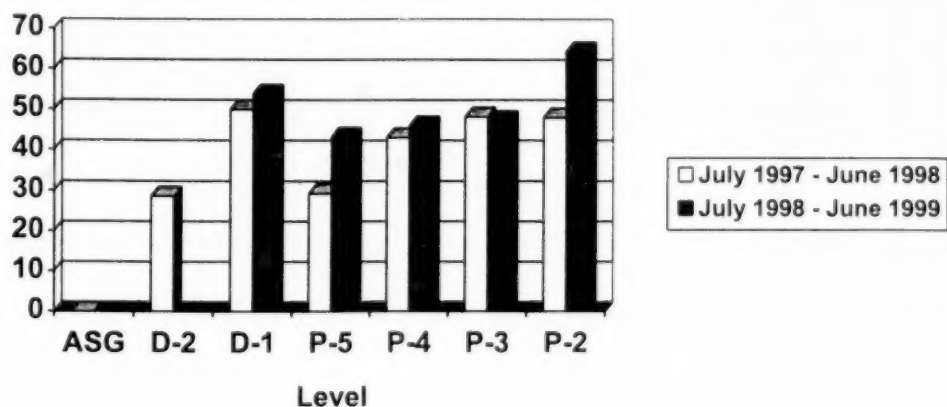
Table 7
Gender distribution of Professional and higher-level staff promoted in the United Nations Secretariat between 1 July 1997 and 30 June 1999

Level	From 1 July 1997 to 30 June 1998			From 1 July 1998 to 30 June 1999		
	Men	Women	Percentage of women	Men	Women	Percentage of women
USG	—	—	—	—	—	—
ASG	—	—	—	1	—	—
D-2	5	2	28.6	10	—	—
D-1	18	18	50.0	12	14	53.8
P-5	41	17	29.3	46	35	43.2
P-4	66	50	43.1	61	52	46.0
P-3	43	40	48.2	48	43	47.3
P-2 ^a	13	12	48.0	5	9	64.3
P-1	—	—	—	—	—	—
Total	186	139	42.8	183	153	45.5

Source: The Human Resources Management and Management Information System Service.

^a Figures at the P-2 level include staff recruited through the G to P examinations.

Percentage of women



Gender distribution of Professional and higher level staff in the organizations of the United Nations system (at Headquarters and other established offices) as at 31 December 1997

Organiz.	P1		P2		P3		P4		P5		D1		D2		UG*		Total		Grand total	Percentage of Women
	M	W	M	W	M	W	M	W	M	W	M	W	M	W	M	W	M	W		
UNFPA	5	8	20	37	16	16	29	44	70	39	24	9	11	6	1	2	176	161	337	47.8%
ICSC	0	0	1	2	2	2	3	3	1	0	1	1	1	0	0	0	9	8	17	47.1%
UNICEF	0	1	17	30	49	49	71	66	69	43	27	18	9	6	1	2	243	215	458	46.9%
PAHO	2	3	7	8	13	16	22	24	37	9	17	5	0	0	3	3	101	68	169	40.2%
UNAIDS	0	0	0	0	4	3	19	17	33	16	3	2	1	2	1	0	61	40	101	39.6%
WFP	1	0	13	16	29	29	50	27	31	13	16	6	4	2	2	1	146	94	240	39.2%
UNDP	26	18	163	168	74	60	126	114	183	75	116	25	58	14	9	2	755	476	1231	38.7%
UNHCR	0	6	61	108	299	228	255	95	124	30	49	16	16	1	2	1	806	485	1291	37.6%
UNESCO	13	16	72	97	104	110	151	73	176	59	75	12	32	9	10	2	633	378	1011	37.4%
UN	16	36	299	271	757	485	881	404	476	208	212	56	80	16	44	4	2765	1480	4245	34.9%
WTO	0	0	11	20	31	25	51	21	35	15	16	1	6	0	5	0	155	82	237	34.6%
ICAT	0	0	1	3	8	9	16	7	14	1	0	0	2	0	0	0	41	20	61	32.8%
IMO	0	0	5	8	11	15	16	13	33	1	6	1	6	0	1	0	78	38	116	32.8%
IFAD	1	0	5	6	5	9	27	17	35	5	9	3	5	0	5	0	92	40	132	30.3%
WIPO	0	1	5	12	18	25	55	15	33	9	17	1	13	0	5	0	146	63	209	30.1%
ILO	1	0	13	18	69	67	142	64	175	36	51	8	17	2	11	3	479	198	677	29.2%
WHO	0	4	39	35	87	60	162	84	309	88	104	22	36	4	12	3	749	300	1049	28.6%
UNU	0	0	0	1	0	2	1	1	4	0	4	0	0	0	1	0	10	4	14	28.6%
UNITAR	0	0	0	0	2	1	3	0	0	1	0	0	1	0	0	0	6	2	8	25.0%
ITC	0	0	3	4	11	5	15	3	13	2	3	1	0	0	1	0	46	15	61	24.6%
UPU	0	0	0	0	31	11	12	6	6	1	6	0	3	0	2	0	60	18	78	23.1%
UNIDO	0	0	6	9	33	27	88	18	66	13	37	0	5	0	1	0	236	67	303	22.1%
ICAO	0	0	9	18	37	20	125	19	41	6	19	0	4	1	2	0	237	64	301	21.3%
WMO	0	0	2	3	7	11	35	9	36	4	11	0	8	0	3	0	102	27	129	20.9%
UNOPS	0	1	13	10	32	13	55	19	85	12	39	2	5	0	2	0	231	57	288	19.8%
ITU	2	2	10	5	41	22	80	15	50	2	15	1	0	0	5	0	203	47	250	18.8%
FAO	6	2	76	47	130	77	299	70	299	21	124	7	42	4	15	0	991	228	1219	18.7%
IAEA	2	6	43	24	169	61	232	37	202	14	18	5	11	0	7	0	684	147	831	17.7%
UNRWA	0	0	7	4	26	4	44	1	20	1	7	2	1	0	2	0	107	12	119	10.1%
ICJ	0	0	0	1	4	0	5	0	0	0	0	0	0	0	0	0	9	1	10	10.0%
Total	75	104	901	965	2099	1462	3070	1286	2656	724	1026	204	377	67	153	23	10357	4835	15192	31.8%

Source: Personnel Statistics (ACC/1999/PER/R 10, 18 May 1999)

* UG stands for "ungraded" — e.g., USG, ASG, DDG, ADG, DG, SG, depending on the nomenclature used in the given organization.